

Federal Communications Commission
COVER SHEET
SOLICITATION SOL03000001
North American Number Plan Administrator (NANPA)

The attached solicitation is to select the next NANP Administrator. It replaces the previously issued SOL03000001 and Amendments. Your attention is drawn to the following:

1. Questions on the solicitation are due at Noon, April 7, 2003, to Mark Oakey at moakey@fcc.gov.
2. A Pre-Offer Conference will be Monday, April 21, 2003, 10:00 AM, 445 12th SW, Washington, DC 20554. Room # is 2-B516, South Conference Room, 2nd Floor. Attendees also must register with the Contracting Officer by Noon, April 18, 2003.
3. Offers may **NOT** be delivered to the FCC Headquarters. See H.6.
4. The Technical Requirements Document is different than the one previously issued.
5. Source Code discs (as referenced in Section C) were delivered to interested parties by 3/28/2003. Additional current system documentation may be reviewed in paper form in the FCC Reference Center.

SOLICITATION, OFFER AND AWARD			1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700)			RATING		Page 1	
2. CONTRACT NUMBER		3. SOLICITATION NUMBER SOL0300000 1		4. TYPE OF SOLICITATION <input type="checkbox"/> SEALED BID (IFB) <input checked="" type="checkbox"/> NEGOTIATED (RFP)		5. DATE ISSUED 03/28/2003		6. REQUISITION/PURCHASE NUMBER	
7. ISSUED BY FCC /Contracts and Purchasing Center 445 12th St., SW Washington, DC 20554 TEL: (202) 418-0930 ext. FAX: (202) 418-0237 ext.				CODE 00001		8. ADDRESS OFFER TO (If other than item 7) See Sec. H.6			
NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".									
SOLICITATION									
9. Sealed offers in original and <u>5</u> copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in <u>Sec H.6</u> until <u>2:00 PM</u> local time <u>05/12/2003</u> (Hour) (Date)									
CAUTION - LATE submissions, Modifications, and Withdrawals: See Section L, Provision No. 52.214-7 or 52.215-1. All offers are subject to all terms and conditions contained in this solicitation.									
10. FOR INFORMATION CALL:		A. NAME Mark Oakey		B. TELEPHONE (NO COLLECT CALLS) AREA CODE 202 NUMBER 418-0933 EXT.		C. E-MAIL ADDRESS moakey@fcc.gov			
11. TABLE OF CONTENTS									
(X)	SEC.	DESCRIPTION		PAGE(S)	(X)	SEC.	DESCRIPTION		PAGE(S)
PART I - THE SCHEDULE					PART II - CONTRACT CLAUSES				
<input checked="" type="checkbox"/>	A	SOLICITATION/CONTRACT FORM		1	<input checked="" type="checkbox"/>	I	CONTRACT CLAUSES		20
<input checked="" type="checkbox"/>	B	SUPPLIES OR SERVICES AND PRICES/COSTS		2	PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACH.				
<input checked="" type="checkbox"/>	C	DESCRIPTION/SPECS./WORK STATEMENT		5	<input checked="" type="checkbox"/>	J	LIST OF ATTACHMENTS		23
	D	PACKAGING AND MARKING			PART IV - REPRESENTATIONS AND INSTRUCTIONS				
<input checked="" type="checkbox"/>	E	INSPECTION AND ACCEPTANCE		9	<input checked="" type="checkbox"/>	K	REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS		24
<input checked="" type="checkbox"/>	F	DELIVERIES OR PERFORMANCE		10	<input checked="" type="checkbox"/>	L	INSTRS., CONDS., AND NOTICES TO OFFERORS		37
<input checked="" type="checkbox"/>	G	CONTRACT ADMINISTRATION DATA		11	<input checked="" type="checkbox"/>	M	EVALUATION FACTORS FOR AWARD		45
<input checked="" type="checkbox"/>	H	SPECIAL CONTRACT REQUIREMENTS		13					
OFFER (Must be fully completed by offeror)									
NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period									
12. In compliance with the above, the undersigned agrees, if this offer is accepted within _____ calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.									
13. DISCOUNT FOR PROMPT PAYMENT (See Section I, Clause No. 52-232-8)			10 CALENDAR DAYS (%)		20 CALENDAR DAYS (%)		30 CALENDAR DAYS (%)		CALENDAR DAYS (%)
14. ACKNOWLEDGMENT OF AMENDMENTS (the offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated):			AMENDMENT NO.		DATE		AMENDMENT NO.		DATE
15A. NAME AND ADDRESS OF OFFEROR		CODE	FACILITY		16. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER (Type or print)				
15B. TELEPHONE NUMBER AREA CODE NUMBER EXT.		<input type="checkbox"/> 15C. CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE - ENTER SUCH ADDRESS IN SCHEDULE.			17. SIGNATURE		18. OFFER DATE		
AWARD (To be completed by Government)									
19. ACCEPTED AS TO ITEMS NUMBERED			20. AMOUNT		21. ACCOUNTING AND APPROPRIATION				
22. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: <input type="checkbox"/> 10 U.S.C. 2304 (c) () <input type="checkbox"/> 41. U.S.C. 253(c) ()					23. SUBMIT INVOICES TO ADDRESS SHOWN IN (4 copies unless otherwise specified)			ITEM	
24. ADMINISTERED BY (If other than Item 7)			CODE		25. PAYMENT WILL BE MADE BY			CODE	
26. NAME OF CONTRACTING OFFICER (Type or print)					27. UNITED STATES OF AMERICA (Signature of Contracting Officer)			28. AWARD DATE	
IMPORTANT - Award will be made on this Form, or on Standard Form 28, or by other authorized official written notice.									

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SECTION B – PRICING

Supplies or Services and Pricing

The successful Offeror (Contractor) shall perform the effort required by the Statement of Work of this contract on a Firm Fixed Price (FFP) basis. Period of Performance is one (1) year with four (4) additional option years (to be exercised solely at the discretion of the Government).

Base Year

CLIN	Description	Qty/Unit	Unit Price	Amount
0001	Automated NANPA System Development and Implementation	xxx	xxx	\$
0002	Transition to NANP Administration	xxx	xxx	\$
0003	Reporting	xxx	xxx	\$
0004	Travel, Not to Exceed Amount	xxx	xxx	\$
0005	Data Requirements (CDRLs)	xxx	xxx	\$
Total—Initial Year		xxx	xxx	\$

Option Year 1

CLIN	Description	Qty/Unit	Unit Price	Amount
0101	Automated System Support (operation and maintenance)	xxx	xxx	\$
0102	NANP Administration	xxx	xxx	\$
0103	Reporting	xxx	xxx	\$
0104	Travel, Not to Exceed Amount	xxx	xxx	\$
0105	Data Requirements (CDRLs)	xxx	xxx	\$
Total—Option Year 1		xxx	xxx	\$

Option Year 2

CLIN	Description	Qty/Unit	Unit Price	Amount
0201	Automated System Support (operation and maintenance)	xxx	xxx	\$
0202	NANP Administration	xxx	xxx	\$
0203	Reporting	xxx	xxx	\$
0204	Travel, Not to Exceed Amount	xxx	xxx	\$
0205	Data Requirements (CDRLs)	xxx	xxx	\$
Total—Option Year 2		xxx	xxx	\$

Option Year 3

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CLIN	Description	Qty/Unit	Unit Price	Amount
0301	Automated System Support (operation and maintenance)	xxx	xxx	\$
0302	NANP Administration	xxx	xxx	\$
0303	Reporting	xxx	xxx	\$
0304	Travel, Not to Exceed Amount	xxx	xxx	\$
0305	Data Requirements (CDRLs)	xxx	xxx	\$
Total—Option Year 3		xxx	xxx	\$

Option Year 4

CLIN	Description	Qty/Unit	Unit Price	Amount
0401	Automated System Support (operation and maintenance)	xxx	xxx	\$
0402	NANP Administration	xxx	xxx	\$
0403	Reporting	xxx	xxx	\$
0404	Travel, Not to Exceed Amount	xxx	xxx	\$
0405	Data Requirements (CDRLs)	xxx	xxx	\$
0406	Transition	xxx	xxx	\$
Total—Option Year 4		xxx	xxx	\$

Total Firm-Fixed Price—Base Year Plus Four Option Years: \$

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SECTION C – STATEMENT OF WORK AND REQUIREMENTS

C.1 Scope

The Federal Communications Commission (FCC) intends to select a Contractor to assume the roles and responsibilities of the North American Numbering Plan Administrator (NANPA). The Contractor shall operate as the NANPA for a term of 5 years, consisting of one base year and four one-year options. The Contractor shall develop a North American Numbering Plan (NANP) Administration system and operate it as the NANPA. The Contractor shall take over the NANPA functions from the current contractor seamlessly after developing the system. The NANP Administration system requirements and NANPA functions are detailed in the NANPA Technical Requirements Document, (Attachment A). The Contractor will have available and may use current system elements as part of its proposed system.

C1.1 Background

The NANP is the basic numbering scheme for the public switched telecommunications networks (PSTNs) in the following 19 countries (formerly known as World Zone 1): Anguilla, Antigua & Barbuda, Bahamas, Barbados, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Trinidad & Tobago, Turks & Caicos Islands, and the United States (including Puerto Rico, the U.S. Virgin Islands, Guam, and the Commonwealth of the Northern Mariana Islands). The format of the NANP is consistent with International Telecommunication Union (ITU) Recommendation E.164 “The International Public Telecommunication Numbering Plan.”

The NANPA’s role in the United States includes the following functional areas: overall NANP Administration, Central Office (CO) Code Administration, Numbering Plan Area (NPA) relief planning, collection and analysis of utilization and forecast data, report generation, and all other related NANP administration functions. Each of the functions is described further in the NANPA Technical Requirements Document, (Attachment A).

C.2 Applicable Documents

The applicable documents list is contained in Appendix C of the NANPA Technical Requirements Document, Attachment A.

C.3 Requirements

C.3.1 General

The Contractor shall develop the NANP Administration system and operate as the NANPA in accordance with the attached NANPA Technical Requirements Document, Attachment A. A different system is needed because the current system does not fully meet the requirements in the Technical Requirement Document, Attachment A. Following are examples of some differences between the system described in the Technical Requirements Document and the current system:

- System security obligations - The new NANPA system shall comply with the *FCC Computer Security Program, FCCINST 1479.2* – Reference 25 in the Requirements Document.
- Quarterly updates (section 7.7) – The new NANPA system shall update its service provider contact lists quarterly, as opposed to NANPA’s current practice of updating the contact list semi-annually.
- Code Administration System (CAS) EFT obligations (sections 7.4.3 – 7.4.4) – The new NANPA system shall allow for automated data input and accommodate automated data output via EFT (the NANPA is not currently required to accommodate EFT for its CAS obligations).

Regardless of whether the Contractor intends to utilize current system elements or develops a completely new system, the Contractor shall adhere to the Transition Plan (Attachment B). The Contractor may request modifications to the Transition Plan. The FCC Contracting Officer shall approve those modifications at its sole discretion. In the event that the Contractor intends to utilize any elements of the current system, the Contractor shall be granted an unconditional license (see Attachment C).

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Included under separate cover is the source code for the current system as obtained from the current contractor. It is made available to the Contractor without any warranty. It is left to the discretion of the Contractor to use or not use as the contractor sees fit.

It will be incumbent upon the Contractor to meet the requirements of this Statement of Work and the NANPA Technical Requirements Document. The FCC will make current NANPA system documentation, data, and computer programs (NANPA System Elements) available to the Contractor on an “as is” basis. The Contractor is free to use the NANPA System Elements at its option. There is no requirement to use or incorporate any or all of the NANPA System Elements.

The NANPA System Elements are not Government Furnished Equipment or Government Furnished Information and the FCC disclaims any warranty of the suitability, accuracy, or completeness of the NANPA System Elements. Any use of the NANPA System Elements will be at the sole risk of the Contractor.

C.3.2 Detail Tasks

C.3.2.1 Automated Systems Development (CLIN 0001)

The current system that is being used by the incumbent contractor does not fully meet the requirements in the Technical Requirement Document, Attachment A. The Contractor shall define and develop a system to meet the requirements as specified in the NANPA Technical Requirements Document, Section 7 (Attachment A). The Contractor shall complete the system development, operational testing and evaluation, and have the system accepted by the FCC within the transition period.

C.3.2.2 Preparation for and Transition to NANP Administration (CLIN 0002)

The Contractor shall prepare for and transition to NANP Administration in accordance with the Transition Plan (Attachment B). The Contractor, at the initial kick-off meeting described in the Transition Plan, may request changes to the Transition Plan. The FCC Contracting Officer will approve any changes to this plan at its sole discretion.

The Contractor shall have adequate, trained staff to fulfill the NANPA operations requirements by the end of the transition period. The Contractor shall be ready for operations described in the NANPA Technical Requirements Document (Attachment A) on the first day after the transition period. FCC will determine the operations readiness of the service during the transition period. The cutover shall be implemented no later than the last day of the transition period.

C.3.2.3 Reporting (CLINs 0003, 0103, 0203, 0303, 0403)

The Contractor shall provide the FCC Contracting Officer with a monthly status report during the transition period, presenting the progress and any issues relating to the Automated Systems Development and preparation for and transition to NANP Administration. The report shall detail the specific progress of each of the plans required in the Contract Data Requirements List (CDRL), Section 10 of the NANPA Technical Requirements Document (Attachment A). **(CLIN 0003)**

The Contractor shall be responsible for compiling and delivering the reports as defined in the NANPA Technical Requirements Document (Attachment A) and specifically Section 8 (Reporting), Section 7.9 (System Report Administration), and Section 9.5 (Self Assessment and Reporting). The Contractor may be required to provide additional reports as required by the FCC. **(CLINs 0103, 0203, 0303, 0403)**

C.3.2.4 Travel (CLINs 0004, 0104, 0204, 0304, 0404)

The Contractor staff shall travel as necessary to support the Automated Systems Development, preparation for and transition to NANP Administration. Travel is Cost-reimbursable. Contractor travel in support of system development shall be bid as a not-to-exceed amount. **(CLIN 0004)**

The Contractor’s staff shall also travel, when necessary, to meet the needs of NANP Administration (e.g., NANC, INC, NPA jeopardy situations, NPA relief planning meetings, or as otherwise necessary to comply with FCC requirements). Travel is Cost-reimbursable. Anticipated contractor travel in support of NANP Administration shall be bid as a not-to-exceed amount. **(CLINs 0104, 0204, 0304, 0404)**

C.3.2.5 Data Requirements (CDRLs) (CLINs 0005, 0105, 0205, 0305, 0405)

The Contractor shall provide the Contract Data Requirements in accordance with the list and schedule as provided in the Contracts

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Data Requirements List (CDRL), Section 10 of the NANPA Technical Requirements Document (Attachment A). All deliverables shall be approved by the FCC Contracting Officer.

C.3.2.6 Automated Systems Support (CLINs 0101, 0201, 0301, 0401)

The Contractor shall operate and maintain the new NANP administration system in a manner that supports the requirements and functionality specified in the NANPA Technical Requirements Document (Attachment A).

C.3.2.7 NANP Administration (CLINs 0102, 0202, 0302, 0402)

The Contractor shall be responsible for management, administration, and assignment of all numbering resources within the NANP. The Contractor shall perform these duties in accordance with the most current regulatory directives, policies, published industry guidelines, and NANPA Technical Requirements Document (Attachment A).

C3.2.8 Transition (CLIN 0406)

The Contractor shall transfer in the case of termination or at the expiration of the term of administration to the FCC or its designee, all hardware, software, and rights to software contracts and other intellectual property used in conjunction with the NANP Administration systems in accordance with Section 2.15, NANPA Transition, NANPA Technical Requirements Document (Attachment A).

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SECTION D – PACKAGING AND MARKING

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SECTION E -- INSPECTION AND ACCEPTANCE

E.1 52.252-02 CLAUSES INCORPORATED BY REFERENCE

Clause	Title	Date
FAR 52.246-04	Inspection--Fixed Price	May 2001 Aug 1996

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SECTION F -- DELIVERIES OR PERFORMANCE

F.1 PERIOD OF PERFORMANCE

The period of performance shall be a one-year base period from date of award with four one-year options, to be exercised solely at the discretion of the Government.

F.2 DELIVERY SCHEDULE

Deliveries shall be as specified in the Sections C, G, and the Technical Requirements Document.

END OF SECTION F

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SECTION G - CONTRACT ADMINISTRATION DATA

G.1 DESIGNATION OF CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE

- (a) The Contracting Officer's Technical Representative (COTR) is currently as follows:

COTR: Sanford Williams
Federal Communications Commission
ADDRESS: 445 12th Street S.W.
Washington, DC 20554

- (b) The COTR is responsible for the technical direction of the contract work. In no event, however, will any understanding, agreements, modification, change order, or other matter deviating from the terms of this contract be effective or binding upon the Government unless formalized by proper contractual document executed by the Contracting Officer prior to completion of the contract.
- (c) The Contracting Officer shall be informed as soon as possible of any actions or inactions by the Contractor or the Government which may have an effect on the price, required delivery or completion times stated in the contract, so that the contract may be modified if necessary. Whenever, in the opinion of the Contractor, the COTR requests efforts outside the scope of the contract, the Contractor shall advise the COTR. If the COTR persists and there still exists a disagreement as to proper contractual coverage, the Contracting Officer should be notified immediately, preferably in writing if time permits. Proceeding with work without proper contractual coverage could result in non-payment.

G.2 INVOICE

- (a) Invoices shall be submitted in an original and two copies to the Government office designated in this contract. The Government anticipates monthly billing. To constitute a proper invoice, the invoice must include the following information and/or attached documentation:
- (1) Name of the business concern, invoice number and invoice date;
 - (2) Contract number, or authorization for delivery of property or performance of services;
 - (3) Description, price, and quantity of property and services actually delivered or rendered;
 - (4) Payment terms;
 - (5) Name (where practicable), title, phone number, and complete mailing address of responsible official to whom payment is to be sent;
 - (6) Other substantiating documentation or information as required by the contract; and,
 - (7) Receipts to support all out-of-pocket expenses incurred by the Contractor.

Submission of invoices:

- (a) Invoices shall be submitted in an original and two copies to : FCC Accounts Processing, 445 12th St., SW, Washington, DC 20554

The items covered in FAR 52.216-26, are incorporated herein.

The invoice will contain a statement signed by a responsible official of the Contractor substantially similar if not identical to the following:

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I certify that the items above have been delivered in accordance with the contract, and that all charges are true, correct, and have not been previously billed.

Contractor's Signature

The Commission will return all improper invoices without action.

Interest on Overdue Payment

Determination of interest due will be made in accordance with the provisions of the Prompt Payment Act and Office of Management and Budget Circular A-125.

(b) Payment due date:

- (1) Unless otherwise specified in the contract, payments under this contract will be forwarded by the 30th calendar day after the later of
 - (i) The date of actual receipt of a proper invoice in the office designated to receive the invoice, or
 - (ii) The date tasks are formally accepted by the Government.
- (2) If the services covered by a submitted invoice are rejected for failure to conform to the technical requirements of this contract, the provisions stated above will (i and ii) apply to the properly resubmitted document.

Payment under this contract shall be through:

NBANC
80 S. Jefferson Road
Whippany, NJ 07981

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SECTION H - SPECIAL PROVISIONS

H.1 Save Harmless and Indemnity Agreement

- (a). Responsibility for Government Property. The Contractor assumes full responsibility for and shall indemnify the Government against any and all loss or damage of whatsoever kind and nature to any and all Government property, including any equipment, supplies, accessories, or parts furnished, while in its custody and care for storage, repair, or services to be performed under the terms of this contract, resulting in whole or in part from the negligent acts of the Contractor, any subcontractor, or any employee, agent, or representative of the Contractor or any Subcontractor.
- (b). Hold Harmless and Indemnification Agreement. The Contractor shall save and hold harmless and indemnify the Government against any and all liability and claims and costs of whatever kind and nature for injury to or death of any persons and for loss of or damage to any property occurring in connection with or in any way incidental to or arising out of the occupancy, use, service, operation, or performance of work under the terms of this contract resulting in whole or in part from the negligent acts or omissions of the Contractor, any Subcontractor, or any employee, agent, or representative of the Contractor or Subcontractor.
- (c). Contractor/Employees Property. The Contractor shall be responsible for the safety and health of its employees. The Government will not be responsible in any way for damage to the Contractor's supplies or materials, or to the Contractor's employees' personal belongings brought into the building, occasioned by fire, theft, accident, or otherwise.

H.2 Restrictions Against Disclosure

- (a). The Contractor agrees, in the performance of this contract to keep the information contained in source documents or other media furnished by the Government in the strictest confidence, said information being the sole property of the Government. The Contractor also agrees not to publish, reproduce, make use of data, or otherwise divulge such information in whole or in part, in any manner or form, nor to authorize or permit others to do so, taking such reasonable measures as are necessary to restrict access to such information, while in his/her possession to those employees needing such information to perform the work provided herein, i.e., on a "need-to-know" basis, and shall immediately notify in writing, the Contracting Officer's Technical Representative, in the event that he/she determines or has reason to suspect a breach of this requirement.
- (b). The Contractor agrees that he/she shall not disclose any information concerning the work under this contract to any persons or individuals unless prior written approval is obtained from the Contracting Officer. The contractor agrees to insert the substance of this clause in any agreement or subcontract hereunder.

H.3 Rights to Data Developed Under this Contract

All data under this contract whether completed, accepted or in the development stage, is the property of the Government. Data is defined to mean recorded information, regardless of form or the media on which it may be recorded, and includes technical data and computer software. This includes but is not limited to all applications, manuals, instructions, source codes, notes, modifications, changes or variations of the operating system required to meet the requirements set forth in Section C – Description/Specification/ Work Statement of this document.

H.4 Privacy or Security Safeguards (OCT 1990 FIRMR) 201-39.5202-5

- (a). The details of any safeguards the contractor may design or develop under this contract are the property of the Government and shall not be published or disclosed in any manner without the Contracting Officer's express written consent.
- (b). The details of any safeguards that may be revealed to the Contractor by the Government in the course of performance

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under this contract shall not be published or disclosed in any manner without the Contracting Officer's express written consent.

- (c). The Government or its agents shall be afforded full, free, and uninhibited access to all facilities, installations, technical capabilities, operations, documentation, records, and data bases for the purpose of carrying out a program of inspection to ensure continued efficiency of safeguards against threats and hazards to data security, integrity, and confidentiality.
- (d). If new or unanticipated threats or hazards are discovered by either the Government or the Contractor, or if existing safeguards have ceased to function, the discoverer shall immediately bring the situation to the attention of the other party. Mutual agreement shall then be reached on changes or corrections to existing safeguards or institution of new safeguards, with final determination of appropriateness being made by the Government. The Government's liability is limited to an equitable adjustment of cost for such changes or corrections, and the Government shall not be liable for claims of loss of business, damage to reputation, or damages of any other kind arising from discovery of new or unanticipated threats or hazards, or any public or private disclosure thereof.

H.5 Personnel Security Investigations

All Contractor personnel must have valid up-to-date standard industry clearances. The Contractor shall bear the cost of these security clearances. Clearance forms shall be submitted to the Contracting Officer. On an exception basis, the Contracting Officer may permit Contractor staff to begin work pending clearance approval. Furthermore, the government reserves the right to seek assurance from the Contractor about the honesty, trustworthiness, integrity, and reliability of Contractor employees assigned to the contract pursuant to existing and future Government guidelines and policies. If the Government has reason to suspect a breach in security by a Contractor employee, that individual will be removed from the contract within one business day of being notified by the Contracting Officer's Technical Representative.

H.6 Delivery of Offers

Offers shall be delivered to the FCC Warehouse, 9300 E. Hampton Dr., Capitol Heights, Maryland, 20743 and must be marked: "Response to SOL3000001, Attn.: Mark Oakey, Contracts and Purchasing Center."

H.7 Key Personnel Requirements

- (a). The Contractor shall propose those positions to be designated as Key Personnel.
- (b). The Contractor agrees that the key personnel shall not be removed from the contract effort, replaced or added to the contract without a compelling reason (e.g. death of present personnel, personnel leaving the company employ, unavailability due to excessive or unanticipated demand made by the Government under any order), and without compliance with paragraphs (3) and (4) hereof. The Government will not approve substitutions for the sole purpose of the Contractor.
- (c). If any change to the key personnel positions becomes necessary (substitutions or additions), the Contractor shall immediately notify the Contracting Officer in writing, accompanied by the resume of the proposed replacement personnel who shall be of at least substantially equal ability and qualifications as the individuals currently approved for that category.
- (d). No substitution or replacement of the key personnel shall be approved within the first ninety days of the issuance of the Contract.
- (e). All requests for approval of changes hereunder must be in writing and provide a detailed explanation of circumstances necessitating the proposed change. Requests for changes should be made whenever the need is identified, and not at the time of quote submittal. Besides the resume, the request must also provide:
 - 1. A comparison of skills and qualifications to those set forth in the accepted resume proposed for substitution;
 - 2. A signed employee procurement integrity agreement, and
 - 3. Any other information requested by the Contracting Officer to reach a decision.
- (f). The Contracting Officer will evaluate such requests and promptly notify the Contractor of his/her approval in writing.

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H.8. CONFIDENTIALITY

1. The Contractor and any of its personnel assigned to this contract, including any consultants, subcontractors or other representatives (collectively “the Contractor”), are restricted as to their use of non-public information concerning any matter relating to the contract work. Any such information that is made known to the Contractor by virtue of its work under this contract is deemed confidential/proprietary, and is subject to the attorney-client privilege, the attorney work product doctrine, the deliberative process privilege, and any other relevant claims of privilege from disclosure under the Freedom of Information Act. (Confidential information and/or proprietary data include non-public information to which the Contractor is given access by virtue of its work under the contract and which embody the types of information that are not or have not been generally known or available from other sources, or third parties, without obligation concerning their confidentiality.) It is the responsibility of the Contractor to preserve all such information in confidence. Any confidential/proprietary information relating to any aspect of this contract may not be discussed or shared, or otherwise exchanged within or outside of the Contractor’s organization, except as to those individuals: (a) assigned to or performing the contract work; or (b) as otherwise agreed to by the Contracting Officer. Immediately upon contract award (if not already provided as part of the proposal process), the Contractor shall submit a list of assigned Contractor employees, subcontractors, consultants, and representatives (or any other individual identified in category (b) above), and obtain the Contracting Officer’s written consent to exchange confidential/proprietary information with them. The Non-Disclosure Agreement attached hereto as Attachment A must be executed by all such individuals before the dissemination of any such information. It is understood that the FCC is procuring its requirements from the Contractor under the explicit condition that it insure that its employees, subcontractors, consultants, representatives or any other individuals who have been approved in writing by the Contracting Officer to receive confidential/proprietary information, not engage in any discussions or otherwise exchange any information with anyone (except as may be provided in Paragraph A.3. below) who has not executed a Non-Disclosure Agreement. The approval process described above applies to any individuals who may become associated with the contract effort following award.

2. All reports, information, discussions, procedures, and any other data that is collected, generated or results from the performance of this contract is considered confidential/proprietary information, and may not be disclosed or used by the Contractor at any time in any manner outside the performance of this contract without the prior written approval of the FCC. Requests to make such disclosure must be addressed in writing to Contracting Officer. In the event the Contractor is issued a subpoena, court order, or similar request seeking information related to this contract, the Contractor will notify the Contracting Officer in writing within one calendar day of knowledge or receipt of such request, whichever is sooner.

3. The Contractor may not discuss the contract work in progress with any outside party, including responding to media and press inquiries, without the prior written permission of the FCC. In addition, the Contractor may not issue news releases or similar items regarding contract award, any subsequent contract modifications or other contract-related actions without the prior written approval of the FCC. Requests to make such disclosure should be addressed in writing to the Contracting Officer. The Contractor, however, shall routinely disclose to the public certain types of information as identified in Section C (e.g., on the Contractor's web page). Disclosure of this type of information shall not require FCC advance approval for each individual release. In addition, other information for public disclosure by the Contractor will be determined at the start of contract performance and throughout the performance period as agreed to by the parties or as may be required by the FCC. NOTE: This prohibition on disclosure does not apply to communications with the North American Numbering Council, state commissions acting pursuant to delegated authority, or the Industry Numbering Committee that are conducted pursuant to Commission orders, rules, or other FCC directives.

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4. All working papers, documents, photocopies, computer data and any other information of any kind collected, generated or received by the Contractor in connection with the contract work are the property of the FCC and shall be provided to it upon termination of the contract; i.e., the date on which final payment is made on the contract, or at such other time as may be requested by the Contracting Officer or as otherwise agreed by the Contracting Officer and the Contractor.

5. The prohibition on disclosure of the information described above is an ongoing obligation and does not terminate with completion of the contract work.

B. CONFLICT OF INTEREST

1. The Contractor and any of its personnel assigned to this contract, including any consultants, subcontractors or other representatives (collectively “the Contractor”), are committed to providing high quality service to the Commission that is free from bias, personal and organizational conflicts of interest, unprofessional conduct and are otherwise in compliance with the FCC’s specified neutrality requirements. *See NANP Administration Third Report and Order*, 12 FCC Rcd 23040 (1997), *Lockheed Martin Transfer Order*, 14 FCC Rcd 19792 (1999) and the Commission’s implementing rules. During the period of contract performance, the Contractor shall refrain from providing services to any person or entity that would result in an actual or potential conflict of interest, or raise the appearance of impropriety, with respect to the performance of this contract with the FCC or otherwise be in conflict with the neutrality criteria . The Contractor shall also refrain from providing services to any person or entity with respect to any matter indirectly relating to the subject matter of the contract with the FCC without first providing a detailed written explanation of the proposed services to be rendered and the express written consent of the Contracting Officer in connection therewith. The Contractor further agrees that for a period of twelve (12) months following the termination date of the contract, it will not perform services for any individual or entity that may raise an actual or potential conflict of interest (including circumstances that may raise the appearance of impropriety) with respect to work performed for the FCC under this contract without first obtaining the written consent of the Contracting Officer. These provisions apply to all Contractor personnel, subcontractors, consultants, representatives and any other individuals who have been engaged to perform any aspect of the contract work or who have been given access to any confidential/proprietary data as provided in Paragraph A above.

2. The Contractor certifies that it is in compliance with the neutrality criteria set forth in the FCC Orders and rules identified in Paragraph 1 above and that it has submitted the required information to demonstrate such compliance.

3. The Contractor must submit with its proposal a certificate containing the following information:

- (a) Name of the agency and solicitation number in question.
- (b) Name, address, telephone number, and federal taxpayer identification number of the Contractor.
- (c) Description of the nature of the services rendered by or to be rendered by the Contractor under the instant contract.
- (d) Name, address, and telephone number of any client of the Contractor, and a description of the services rendered, if, in the 2 years preceding the date of this certification, services were rendered relating to the FCC.
- (e) Certification by the Contractor that he or she has made inquiry and that, to the best of its knowledge and belief, no actual or potential conflict of interest, or situations that could raise the appearance of impropriety or unfair competitive advantage exist with respect to the services to be provided in connection with the instant contract, or that any actual or potential conflict of interest, and issues of impropriety or unfair competitive advantage that does or may exist has been communicated in writing to the Contracting Officer.

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(f) Signature of authorized contractor representative.

4. The Contractor recognizes that the failure to mitigate or otherwise resolve to the satisfaction of the Government, any situation required to be reported pursuant to paragraphs 2 and 3 above, may render it ineligible for award and/or subject to other appropriate agency action.

5. The Contractor agrees that if after award of the contract, it discovers an actual or potential conflict of interest or circumstances creating the appearance of impropriety, or that new circumstances have resulted in such issues, it shall make an immediate and full disclosure in writing to the Contracting Officer of the nature of the conflict (in sufficient detail to determine whether or not a conflict exists) and the action which the Contractor has taken or proposes to take to eliminate, neutralize, or mitigate the conflict. (Any situation or information affecting the Contractor's compliance with the neutrality criteria set forth in the FCC Orders and rules identified in Paragraph 1 above is specifically included in this reporting requirement.) The Contracting Officer shall consider the Contractor's submission and take whatever action he or she deems to be in the best interest of the Government. If the contractor was aware of any such circumstances prior to award of this contract, or discovered them after award and intentionally did not disclose or misrepresented relevant information, the contractor may be subject to default termination and/or other appropriate agency action.

6. During and after the period of contract performance, the Contractor agrees that it will not dispute the validity of, nor take positions inconsistent with, the work product generated for the FCC in connection with this contract. This provision applies to all Contractor personnel, subcontractors, consultants, representatives and any other individuals who have been engaged to perform any aspect of the contract work or who have been given access to any confidential/proprietary information as provided in Paragraph A.

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ATTACHMENT A

NON-DISCLOSURE AGREEMENT

I, _____, as an employee/subcontractor/consultant/representative of _____ (Contractor), operating under the terms and conditions of a Contract No. _____ with the Federal Communications Commission (FCC), understand that during the course of performing duties under such contract or subcontract, I may be furnished or provided access to non-public, confidential/proprietary information that is the property of, submitted for review or evaluation, or collected or results from the performance of the contract between _____ (Contractor) and the FCC, and that such confidential/proprietary information shall be used only as directed.

I certify that I will not disclose any non-public, confidential/proprietary information to any Contractor employees nor to any non-contractor personnel except those who have been authorized in writing by the FCC to receive such information and who have executed the same or similar Non-Disclosure Agreement. This confidentiality/non-disclosure agreement shall not be assigned, delegated nor any right or duty hereunder be transferred to any other individual or organization that may enforce this agreement. I understand that the prohibition on disclosure of the protected information is an ongoing obligation and does not terminate with completion of the contract work.

Signature

Printed Name

Title

Company

Address

Date

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H.9 Technical and System Changes

This clause addresses the mechanics of processing technical and system changes that arise out of interaction between the North American Numbering Council (NANC), the Federal Communications Commission's (FCC's) federal advisory committee on numbering, the Industry Numbering Committee (INC), and the NANP Administrator (NANPA). It in no way alters or supercedes Clause 52.243-1 entitled "Changes," in Section I.

The need for changes to the NANPA system may result from interaction between the NANC, the INC, the FCC and the NANPA or from technological evolution. These changes are usually to improve system operation, address processing problems of fix unforeseen system responses. The Government acknowledges the importance of the interaction of the parties for developing system enhancements and fixes. For the changes to be properly acknowledged and fiscally addressed in the context of the contract all such system changes should be approached through the following steps:

1. Either the contractor, the NANC, the INC or the FCC may Identify a need for change to the NANPA system.
2. All parties may discuss the needed change and address possible solutions.
3. The NANC, the INC or the FCC may request the contractor to propose a solution to affect the change. The contractor shall develop a solution and alternatives if feasible, and associated cost of each solution. The contractor shall submit the proposal(s) and associated cost information to the NANC for review.
4. The NANC may adopt one of the proposed changes or return the proposal to the contractor for further development/clarification.
5. If and when a change to the NANPA system is adopted by the NANC or the INC, the contractor's liaison shall ensure that the proposed change is forwarded to the Contracting Officer and the Contracting Officer's Technical Representative (COTR). No change shall be binding until such modification is issued, nor shall the Government be liable for any costs associated with a system change until such modification is issued.
6. In the event of a proposed exigent change to the NANP system, the contractor or the the NANC Chair shall contact the Contracting Officer and COTR directly to coordinate exigent processing of the necessary modification.

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SECTION I -- CONTRACT CLAUSES

I.1 52.252-02 CLAUSES INCORPORATED BY REFERENCE

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es): www.gsa.gov

Clause	Title	Date
52.202-01	Definitions	December 2001
52.203-03	Gratuities	April 1984
52.203-05	Covenant Against Contingent Fees	April 1984
52.203-06	Restrictions On Subcontractor Sales To The Government	July 1995
52.203-07	Anti-Kickback Procedures	July 1995
52.203-08	Cancellation, Rescission, and Recovery of Funds for Illegal or Improper Activity	January 1997
52.203-10	Price Or Fee Adjustment For Illegal Or Improper Activity	January 1997
52.203-12	Limitation On Payments To Influence Certain Federal Transactions	June 1997
52.204-04	Printed or Copied Double-Sided on Recycled Paper.	August 2000
52.207-03	Right of First Refusal of Employment	November 1991
52.207-05	Option To Purchase Equipment	February 1995
52.209-06	Protecting the Government's Interest When Subcontracting With Contractors Debarred, Suspended, or Proposed for Debarment	July 1995
52.211-05	Material Requirements.	August 2000
52.214-28	Subcontractor Cost Or Pricing Data--Modifications--Sealed Bidding	October 1997
52.215-02	Audit and Records--Negotiation	June 1999
52.215-08	Order of Precedence--Uniform Contract Format	October 1997
52.215-09 Alt II	Changes or Additions to Make-or-Buy Programs Alternate II	October 1997
52.215-15	Pension Adjustments and Asset Reversions	December 1998
52.215-18	Reversion or Adjustment of Plans for Postretirement Benefits (PRB) Other than Pensions	October 1997
52.215-21	Requirements for Cost or Pricing Data or Information Other Than Cost or Pricing Data--Modifications	October 1997
52.217-02	Cancellation Under Multiyear Contracts	October 1997
52.217-08	Option To Extend Services	November 1999
52.219-08	Utilization of Small Business Concerns	October 2000
52.219-09	Small Business Subcontracting Plan	January 2002
52.219-10	Incentive Subcontracting Program	October 2001
52.219-14	Limitations On Subcontracting	December 1996
52.219-16	Liquidated Damages-Subcontracting Plan	January 1999
52.222-01	Notice To The Government Of Labor Disputes	February 1997
52.222-03	Convict Labor	August 1996
52.222-04	Contract Work Hours and Safety Standards Act - Overtime Compensation	September 2000
52.222-20	Walsh-Healy Public Contracts Act	December 1996
52.222-21	Prohibition of Segregated Facilities	February 1999
52.222-26	Equal Opportunity	April 2002
52.222-29	Notification Of Visa Denial	February 1999

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52.222-35	Equal Opportunity for Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans	December 2001
52.222-35 Alt I	Equal Opportunity for Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans Alternate I	December 2001
52.222-36	Affirmative Action For Workers with Disabilities	June 1998
52.222-37	Employment Reports on Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans	December 2001
52.222-41	Service Contract Act Of 1965, As Amended	May 1989
52.222-43	Fair Labor Standards Act And Service Contract Act - Price Adjustment (Multiple Year And Option Contracts)	May 1989
52.222-44	Fair Labor Standards Act and Service Contract Act - Price Adjustment	February 2002
52.222-47	Service Contract Act (SCA) Minimum Wages And Fringe Benefits	May 1989
52.222-49	Service Contract Act -- Place Of Performance Unknown	May 1989
52.223-03	Hazardous Material Identification And Material Safety Data	January 1997
52.223-05	Pollution Prevention and Right-to-Know Information	April 1998
52.223-06	Drug Free Workplace	May 2001
52.223-10	Waste Reduction Program.	August 2000
52.223-14	Toxic Chemical Release Reporting	October 2000
52.224-01	Privacy Act Notification	April 1984
52.224-02	Privacy Act	April 1984
52.225-13	Restrictions on Certain Foreign Purchases	July 2000
52.227-01	Authorization and Consent	July 1995
52.227-03	Patent Indemnity	April 1984
52.227-14	Rights in Data--General	June 1987
52.227-14 Alt I	Rights in Data--General Alternate I	June 1987
52.227-14 Alt II	Rights in Data--General Alternate II	June 1987
52.227-14 Alt III	Rights in Data--General Alternate III	June 1987
52.227-14 Alt IV	Rights in Data--General Alternate IV	June 1987
52.227-14 Alt V	Rights in Data--General Alternate V	June 1987
52.227-17	Rights In Data-Special Works	June 1987
52.227-18	Rights in Data--Existing Works	June 1987
52.227-19	Commercial Computer Software- Restricted Rights	June 1987
52.227-23	Rights to Proposal Data (Technical)	June 1987
52.229-03	Federal, State And Local Taxes	January 1991
52.229-05	Taxes--Contracts Performed In U S Possessions Or Puerto Rico	April 1984
52.230-02	Cost Accounting Standards	April 1998
52.230-03	Disclosure And Consistency Of Cost Accounting Practices	April 1998
52.230-04	Consistency In Cost Accounting Practices	August 1992
52.232-01	Payments	April 1984
52.232-08	Discounts For Prompt Payment	February 2002
52.232-17	Interest	June 1996
52.232-18	Availability Of Funds	April 1984
52.232-19	Availability Of Funds For The Next Fiscal Year	April 1984
52.232-23	Assignment Of Claims	January 1986
52.232-25	Prompt Payment	February 2002
52.232-33	Payment by Electronic Funds Transfer--Central Contractor Registration	May 1999
52.232-35	Designation of Office for Government Receipt of Electronic Funds Transfer Information	May 1999
52.232-36	Payment by Third Party	May 1999
52.233-01	Disputes	December 1998
52.233-03	Protest After Award	August 1996
52.237-03	Continuity Of Services	January 1991

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52.242-13	Bankruptcy	July 1995
52.243-01 Alt I	Changes--Fixed Price Alternate I	April 1984
52.243-07	Notification Of Changes	April 1984
52.244-05	Competition In Subcontracting	December 1996
52.245-01	Property Records	April 1984
52.245-02	Government Property (Fixed Price Contracts)	December 1989
52.245-17	Special Tooling	December 1989
52.245-19	Government Property Furnished "As Is"	April 1984
52.246-25	Limitation Of Liability--Services	February 1997
52.248-01	Value Engineering	February 2000
52.248-01 Alt II	Value Engineering - Alternate II	February 2000
52.249-02	Termination For Convenience Of The Government (Fixed-Price)	September 1996
52.249-02 Alt II	Termination For Convenience Of The Government (Fixed Price) - Alternate II	September 1996
52.249-04	Termination For Convenience Of The Government (Services) (Short Form)	April 1984
52.249-08	Default (Fixed-Price Supply and Service)	April 1984
52.249-12	Termination (Personal Services)	April 1984
52.250-01	Indemnification Under Public Law 85-804	April 1984

I.2 52.215-19 NOTIFICATION OF OWNERSHIP CHANGES

OCTOBER 1997

(a) The Contractor shall make the following notifications in writing:

(1) When the Contractor becomes aware that a change in its ownership has occurred, or is certain to occur, that could result in changes in the valuation of its capitalized assets in the accounting records, the Contractor shall notify the Administrative Contracting Officer (ACO) within 30 days.

(2) The Contractor shall also notify the ACO within 30 days whenever changes to asset valuations or any other cost changes have occurred or are certain to occur as a result of a change in ownership.

(b) The Contractor shall--

(1) Maintain current, accurate, and complete inventory records of assets and their costs;

(2) Provide the ACO or designated representative ready access to the records upon request;

(3) Ensure that all individual and grouped assets, their capitalized values, accumulated depreciation or amortization, and remaining useful lives are identified accurately before and after each of the Contractor's ownership changes; and

(4) Retain and continue to maintain depreciation and amortization schedules based on the asset records maintained before each Contractor ownership change.

(c) The Contractor shall include the substance of this clause in all subcontracts under this contract that meet the applicability requirement of FAR 15.408(k).

I.3 52.216-24 LIMITATION OF GOVERNMENT LIABILITY

APRIL 1984

(a) In performing this contract, the Contractor is not authorized to make expenditures or incur obligations exceeding _____ dollars.

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(b) The maximum amount for which the Government shall be liable if this contract is terminated is _____ dollars.

I.5 52.244-06 SUBCONTRACTS FOR COMMERCIAL ITEMS DECEMBER 2001

(a) Definitions. As used in this clause-

"Commercial item" has the meaning contained in the clause at 52.202-1, Definitions.

"Subcontract" includes a transfer of commercial items between divisions, subsidiaries, or affiliates of the Contractor or subcontractor at any tier.

(b) To the maximum extent practicable, the Contractor shall incorporate, and require its subcontractors at all tiers to incorporate, commercial items or nondevelopmental items as components of items to be supplied under this contract.

(c)(1) The Contractor shall insert the following clauses in subcontracts for commercial items:

(i) 52.219-8, Utilization of Small Business Concerns (OCT 2000) (15 U.S.C. 637(d)(2) and (3)), in all subcontracts that offer further subcontracting opportunities. If the subcontract (except subcontracts to small business concerns) exceeds \$500,000 (\$1,000,000 for construction of any public facility), the subcontractor must include 52.219-8 in lower tier subcontracts that offer subcontracting opportunities.

(ii) 52.222-26, Equal Opportunity (FEB 1999) (E.O. 11246).

(iii) 52.222-35, Equal Opportunity for Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans (DEC 2001) (38 U.S.C. 4212(a)).

(iv) 52.222-36, Affirmative Action for Workers with Disabilities (JUN 1998) (29 U.S.C. 793).

(v) 52.247-64, Preference for Privately Owned U.S.-Flagged Commercial Vessels (JUN 2000) (46 U.S.C. Appx 1241) (flowdown not required for subcontracts awarded beginning May 1, 1996).

(2) While not required, the Contractor may flow down to subcontracts for commercial items a minimal number of additional clauses necessary to satisfy its contractual obligations.

(d) The Contractor shall include the terms of this clause, including this paragraph (d), in subcontracts awarded under this contract.

(End of clause)

SECTION J – LIST OF ATTACHMENTS

Technical Requirements Document
Transition Plan
Past Performance Survey Form

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SECTION K -- REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS

K.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address(es):

[Insert one or more Internet addresses]

Clause	Title	Date
52.203-11	Certification and Disclosure Regarding Payment to Influence Certain Federal Transactions	April 1991
52.237-08	Restriction on Severance Payments to Foreign Nationals	October 1995

K.2 52.204-03 TAXPAYER IDENTIFICATION

OCTOBER 1998

(a) Definitions.

"Common parent," as used in this provision, means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member.

"Taxpayer Identification Number (TIN)," as used in this provision, means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

(b) All Offerors must submit the information required in paragraphs (d) through (f) of this provision to comply with debt collection requirements of 31 U.S.C. 7701(c) and 3325(d), reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M, and implementing regulations issued by the IRS. If the resulting contract is subject to the payment reporting requirements described in Federal Acquisition Regulation (FAR) 4.904, the failure or refusal by the offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

(c) The TIN may be used by the Government to collect and report on any delinquent amounts arising out of the offeror's relationship with the Government (31 U.S.C. 7701(c)(3)). If the resulting contract is subject to the payment reporting requirements described in FAR 4.904, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the offeror's TIN.

(d) Taxpayer Identification Number (TIN).

[] TIN: _____.

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☐ TIN has been applied for.

☐ TIN is not required because:

☐ Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;

☐ Offeror is an agency or instrumentality of a foreign government;

☐ Offeror is an agency or instrumentality of the Federal Government.

(e) Type of organization.

☐ Sole proprietorship;

☐ Partnership;

☐ Corporate entity (not tax-exempt);

☐ Corporate entity (tax-exempt);

☐ Government entity (Federal, State, or local);

☐ Foreign government;

☐ International organization per 26 CFR 1.6049-4;

☐ Other _____.

(f) Common parent.

☐ Offeror is not owned or controlled by a common parent as defined in paragraph (a) of this provision.

☐ Name and TIN of common parent:

Name _____

TIN _____

K.3 52.209-05 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS DECEMBER 2001

(a)(1) The Offeror certifies, to the best of its knowledge and belief, that--

(i) The Offeror and/or any of its Principals--

(A) Are ☐ are not ☐ presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(B) Have ☐ have not ☐, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or

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commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

(C) Are ☐ are not ☐ presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.

(ii) The Offeror has ☐ has not ☐, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principals," for the purposes of this certification, means officers, directors, owners, partners, and persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager, head of a subsidiary, division, or business segment, and similar positions).

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001, TITLE 18, UNITED STATES CODE.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror non-responsive.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

K.4 52.215-07 ANNUAL REPRESENTATIONS AND CERTIFICATIONS— OCTOBER 1997 NEGOTIATION

The offeror has ☐ [check the appropriate block]:

☐ (a) Submitted to the Contracting Office issuing this solicitation, annual representations and certifications dated _____ [insert date of signature on submission] that are incorporated herein by reference, and are current, accurate, and complete as of the date of this proposal, except as follows [insert changes that affect only this proposal; if "none," so state]:

☐ (b) Enclosed its annual representations and certifications.

K.5 52.219-01 SMALL BUSINESS PROGRAM REPRESENTATIONS APRIL 2002

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is _____ [insert NAICS code].

(2) The small business size standard is _____ [insert size standard].

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(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations. (1) The offeror represents as part of its offer that it ☐ is, ☐ is not a small business concern.

(2) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, for general statistical purposes, that it ☐ is, ☐ is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not a women-owned small business concern.

(4) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not a veteran-owned small business concern.

(5) [Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(4) of this provision.] The offeror represents as part of its offer that it ☐ is, ☐ is not a service-disabled veteran-owned small business concern.

(6) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, as part of its offer, that—

(i) It ☐ is, ☐ is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR part 126; and

(ii) It ☐ is, ☐ is not a joint venture that complies with the requirements of 13 CFR part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. [The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture:_____.] Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.

(c) Definitions. As used in this provision--

"Service-disabled veteran-owned small business concern"--

(1) Means a small business concern--

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

"Small business concern" means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR part 121 and the size standard in paragraph (a) of this provision.

"Veteran-owned small business concern" means a small business concern--

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

"Women-owned small business concern" means a small business concern--

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(1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

(d) Notice. (1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.

(2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall--

(i) Be punished by imposition of fine, imprisonment, or both;

(ii) Be subject to administrative remedies, including suspension and debarment; and

(iii) Be ineligible for participation in programs conducted under the authority of the Small Business Act.

K.6 52.219-22 SMALL DISADVANTAGED BUSINESS STATUS

OCTOBER 1999

(a) General. This provision is used to assess an offeror's small disadvantaged business status for the purpose of obtaining a benefit on this solicitation. Status as a small business and status as a small disadvantaged business for general statistical purposes is covered by the provision at FAR 52.219-1, Small Business Program Representation.

(b) Representations. (1) General. The offeror represents, as part of its offer, that it is a small business under the size standard applicable to this acquisition; and either--

[] (i) It has received certification by the Small Business Administration as a small disadvantaged business concern consistent with 13 CFR 124, Subpart B; and

(A) No material change in disadvantaged ownership and control has occurred since its certification;

(B) Where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(C) It is identified, on the date of its representation, as a certified small disadvantaged business concern in the database maintained by the Small Business Administration (PRO-Net); or

[] (ii) It has submitted a completed application to the Small Business Administration or a Private Certifier to be certified as a small disadvantaged business concern in accordance with 13 CFR 124, Subpart B, and a decision on that application is pending, and that no material change in disadvantaged ownership and control has occurred since its application was submitted.

(2) [] For Joint Ventures. The offeror represents, as part of its offer, that it is a joint venture that complies with the requirements at 13 CFR 124.1002(f) and that the representation in paragraph (b)(1) of this provision is accurate for the small disadvantaged business concern that is participating in the joint venture. [The offeror shall enter the name of the small disadvantaged business concern that is participating in the joint venture:_____.]

(c) Penalties and Remedies. Anyone who misrepresents any aspects of the disadvantaged status of a concern for the purposes of securing a contract or subcontract shall--

(1) Be punished by imposition of a fine, imprisonment, or both;

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- (2) Be subject to administrative remedies, including suspension and debarment; and
- (3) Be ineligible for participation in programs conducted under the authority of the Small Business Act.

**K.7 52.219-22 SMALL DISADVANTAGED BUSINESS STATUS - ALT. I OCTOBER 1998
ALT I**

(a) General. This provision is used to assess an offeror's small disadvantaged business status for the purpose of obtaining a benefit on this solicitation. Status as a small business and status as a small disadvantaged business for general statistical purposes is covered by the provision at FAR 52.219-1, Small Business Program Representation.

(b) Representations. (1) General. The offeror represents, as part of its offer, that it is a small business under the size standard applicable to this acquisition; and either--

[] (i) It has received certification by the Small Business Administration as a small disadvantaged business concern consistent with 13 CFR 124, Subpart B; and

(A) No material change in disadvantaged ownership and control has occurred since its certification;

(B) Where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not exceed \$750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and

(C) It is identified, on the date of its representation, as a certified small disadvantaged business concern in the database maintained by the Small Business Administration (PRO-Net); or

[] (ii) It has submitted a completed application to the Small Business Administration or a Private Certifier to be certified as a small disadvantaged business concern in accordance with 13 CFR 124, Subpart B, and a decision on that application is pending, and that no material change in disadvantaged ownership and control has occurred since its application was submitted.

(2) [] For Joint Ventures. The offeror represents, as part of its offer, that it is a joint venture that complies with the requirements at 13 CFR 124.1002(f) and that the representation in paragraph (b)(1) of this provision is accurate for the small disadvantaged business concern that is participating in the joint venture. [The offeror shall enter the name of the small disadvantaged business concern that is participating in the joint venture:_____.]

(3) Address. The offeror represents that its address [] is, [] is not in a region for which a small disadvantaged business procurement mechanism is authorized and its address has not changed since its certification as a small disadvantaged business concern or submission of its application for certification. The list of authorized small disadvantaged procurement mechanisms and regions is posted at <http://www.arnet.gov/References/sdbadjustments.htm>. The offeror shall use the list in effect on the date of this solicitation. "Address," as used in this provision, means the address of the offeror as listed on the Small Business Administration's register of small disadvantaged business concerns or the address on the completed application that the concern has submitted to the Small Business Administration or Private Certifier in accordance with 13 CFR part 124, subpart B. For joint ventures, "address" refers to the address of small disadvantaged business concern that is participating in the joint venture.

(c) Penalties and Remedies. Anyone who misrepresents any aspects of the disadvantaged status of a concern for the purposes of securing a contract or subcontract shall--

- (1) Be punished by imposition of a fine, imprisonment, or both;
- (2) Be subject to administrative remedies, including suspension and debarment; and
- (3) Be ineligible for participation in programs conducted under the authority of the Small Business Act.

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K.8 52.222-22 PREVIOUS CONTRACTS AND COMPLIANCE REPORTS FEBRUARY 1999

The offeror represents that--

(a) It ☐ has, ☐ has not participated in a previous contract or subcontract subject to the Equal Opportunity clause of this solicitation;

(b) It ☐ has ☐ has not filed all required compliance reports; and

(c) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.

K.9 52.222-25 AFFIRMATIVE ACTION COMPLIANCE APRIL 1984

The offeror represents that it (a) ☐ has developed and has on file, ☐ has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), or (b) ☐ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

K.10 52.223-01 CLEAN AIR AND WATER CERTIFICATION FEBRUARY 2000

[Reserved]

K.11 52.223-13 CERTIFICATION OF TOXIC CHEMICAL RELEASE REPORTING OCTOBER 2000

(a) Submission of this certification is a prerequisite for making or entering into this contract imposed by Executive Order 12969, August 8, 1995.

(b) By signing this offer, the offeror certifies that--

(1) As the owner or operator of facilities that will be used in the performance of this contract that are subject to the filing and reporting requirements described in section 313 of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023) and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106), the offeror will file and continue to file for such facilities for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of EPCRA and section 6607 of PPA; or

(2) None of its owned or operated facilities to be used in the performance of this contract is subject to the Form R filing and reporting requirements because each such facility is exempt for at least one of the following reasons: [Check each block that is applicable.]

☐ (i) The facility does not manufacture, process, or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c);

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[] (ii) The facility does not have 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A);

[] (iii) The facility does not meet the reporting thresholds of toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA);

[] (iv) The facility does not fall within Standard Industrial Classification Code (SIC) designations 20 through 39 as set forth in section 19.102 of the Federal Acquisition Regulation; or

[] (v) The facility is not located within any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the United States Virgin Islands, the Northern Mariana Islands, or any other territory or possession over which the United States has jurisdiction.

(a) The offeror, by signing this offer, certifies that --

___ (1) To the best of its knowledge and belief, it is not subject to the filing and reporting requirements described in Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) sections 313(a) and (g) and Pollution Prevention Act (PPA) section 6607 because none of its owned or operated facilities to be used in the performance of this contract currently --

___ (i) Manufacture, process or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c).

___ (ii) Have more than 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A).

___ (iii) Meet the reporting thresholds in toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA).

___ (iv) Fall within Standard Industrial Classification Code (SIC) designations 20 through 39 as set forth in FAR section 19.102.

___ (2) If awarded a contract resulting from this solicitation, its owned or operated facilities to be used in the performance of this contract, unless otherwise exempt, will file and continue to file for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in EPCRA sections 313(a) and (g) and PPA section 6607 (42 U.S.C. 13106).

(b) Submission of this certification is a prerequisite for making or entering into this contract imposed by Executive Order 12969, August 8, 1995 (60 FR 40989-40992).

K.12 52.227-15 REPRESENTATION OF LIMITED RIGHTS DATA AND MAY 1999 RESTRICTED COMPUTER SOFTWARE

(a) This solicitation sets forth the work to be performed if a contract award results, and the Government's known delivery requirements for data (as defined in FAR 27.401). Any resulting contract may also provide the Government the option to order additional data under the Additional Data Requirements clause at 52.227-16 of the FAR, if included in the contract. Any data delivered under the resulting contract will be subject to the Rights in Data-General clause at 52.227-14 that is to be included in this contract. Under the latter clause, a Contractor may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data in lieu thereof. The latter clause also may be used with its Alternates II and/or III to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of Alternate V with this latter clause provides the Government the right to inspect such data at the Contractor's facility.

(b) As an aid in determining the Government's need to include Alternate II or Alternate III in the clause at 52.227-14, Rights in Data-General, the offeror shall complete paragraph (c) of this provision to either state that none of the data qualify as limited rights data or restricted computer software, or identify, to the extent feasible, which of the data qualifies as limited rights data or restricted computer software. Any identification of limited rights data or restricted computer software in the offeror's response is not determinative of the status of such data should a contract be awarded to the offeror.

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(c) The offeror has reviewed the requirements for the delivery of data or software and states [offeror check appropriate block] -

[] None of the data proposed for fulfilling such requirements qualifies as limited rights data or restricted computer software.

[] Data proposed for fulfilling such requirements qualify as limited rights data or restricted computer software and are identified as follows:

NOTE: "Limited rights data" and "Restricted computer software" are defined in the contract clause entitled "Rights in Data-General."

K.13 52.230-01 COST ACCOUNTING STANDARDS NOTICES AND CERTIFICATION JUNE 2000

Note: This notice does not apply to small businesses or foreign governments. This notice is in three parts, identified by Roman numerals I through III.

Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

I. DISCLOSURE STATEMENT--COST ACCOUNTING PRACTICES AND CERTIFICATION

(a) Any contract in excess of \$500,000 resulting from this solicitation will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1

(b) Any offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR Chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the Offeror's proposal under this solicitation unless the Offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the Offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

Caution: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

(c) Check the appropriate box below:

[] (1) Certificate of Concurrent Submission of Disclosure Statement.

The Offeror hereby certifies that, as a part of the offer, copies of the Disclosure Statement have been submitted as follows: (i) original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal agency official authorized to act in that capacity (Federal official), as applicable, and (ii) one copy to the cognizant Federal auditor.

(Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal official and/or from the loose-leaf version of the Federal Acquisition Regulation.)

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Date of Disclosure Statement:

Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

☐ (2) Certificate of Previously Submitted Disclosure Statement.

The Offeror hereby certifies that the required Disclosure Statement was filed as follows:

Date of Disclosure Statement:

Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

☐ (3) Certificate of Monetary Exemption.

The Offeror hereby certifies that the Offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The offeror further certifies that if such status changes before an award resulting from this proposal, the Offeror will advise the Contracting Officer immediately.

☐ (4) Certificate of Interim Exemption.

The Offeror hereby certifies that (i) the Offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the Offeror is not yet required to submit a Disclosure Statement. The Offeror further certifies that if an award resulting from this proposal has not been made within 90 days after the end of that period, the offeror will immediately submit a revised certificate to the Contracting Officer, in the form specified under subparagraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

Caution: Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

II. COST ACCOUNTING STANDARDS--ELIGIBILITY FOR MODIFIED CONTRACT COVERAGE

If the Offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the Offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

☐ The Offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that the Offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the Offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The Offeror further certifies that if such status changes before an award resulting from this proposal, the Offeror will advise the Contracting Officer immediately.

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Caution: An Offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or if, during its current cost accounting period, the Offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

III. ADDITIONAL COST ACCOUNTING STANDARDS APPLICABLE TO EXISTING CONTRACTS

The Offeror shall indicate below whether award of the contemplated contract would, in accordance with subparagraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

☐ yes ☐ no

K.14 52.230-01 COST ACCOUNTING STANDARDS NOTICES AND JUNE 1996
ALT I CERTIFICATION ALTERNATE I

Note: This notice does not apply to small businesses or foreign governments. This notice is in three parts, identified by Roman numerals I through III.

Offerors shall examine each part and provide the requested information in order to determine Cost Accounting Standards (CAS) requirements applicable to any resultant contract.

If the offeror is an educational institution, Part II does not apply unless the contemplated contract will be subject to full or modified CAS coverage pursuant to 48 CFR 9903.201-2(c)(5) or 9903.201-2(c)(6), respectively.

I. DISCLOSURE STATEMENT--COST ACCOUNTING PRACTICES AND CERTIFICATION

(a) Any contract in excess of \$500,000 resulting from this solicitation, except contracts in which the price negotiated is based on (1) established catalog or market prices of commercial items sold in substantial quantities to the general public, or (2) prices set by law or regulation, will be subject to the requirements of the Cost Accounting Standards Board (48 CFR Chapter 99), except for those contracts which are exempt as specified in 48 CFR 9903.201-1.

(b) Any Offeror submitting a proposal which, if accepted, will result in a contract subject to the requirements of 48 CFR Chapter 99 must, as a condition of contracting, submit a Disclosure Statement as required by 48 CFR 9903.202. When required, the Disclosure Statement must be submitted as a part of the Offeror's proposal under this solicitation unless the Offeror has already submitted a Disclosure Statement disclosing the practices used in connection with the pricing of this proposal. If an applicable Disclosure Statement has already been submitted, the offeror may satisfy the requirement for submission by providing the information requested in paragraph (c) of Part I of this provision.

Caution: In the absence of specific regulations or agreement, a practice disclosed in a Disclosure Statement shall not, by virtue of such disclosure, be deemed to be a proper, approved, or agreed-to practice for pricing proposals or accumulating and reporting contract performance cost data.

(c) Check the appropriate box below:

☐ (1) Certificate of Concurrent Submission of Disclosure Statement.

The Offeror hereby certifies that, as a part of the offer, copies of the Disclosure Statement have been submitted as follows: (i) original and one copy to the cognizant Administrative Contracting Officer (ACO) or cognizant Federal agency official authorized to act in that capacity (Federal official), as applicable, and (ii) one copy to the cognizant Federal auditor.

(Disclosure must be on Form No. CASB DS-1 or CASB DS-2, as applicable. Forms may be obtained from the cognizant ACO or Federal official and/or from the loose-leaf version of the Federal Acquisition Regulation.)

Date of Disclosure Statement:

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Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the Disclosure Statement.

☐ (2) Certificate of Previously Submitted Disclosure Statement.

The offeror hereby certifies that the required Disclosure Statement was filed as follows:

Date of Disclosure Statement:

Name and Address of Cognizant ACO or Federal Official Where Filed:

The Offeror further certifies that the practices used in estimating costs in pricing this proposal are consistent with the cost accounting practices disclosed in the applicable Disclosure Statement.

☐ (3) Certificate of Monetary Exemption.

The Offeror hereby certifies that the Offeror, together with all divisions, subsidiaries, and affiliates under common control, did not receive net awards of negotiated prime contracts and subcontracts subject to CAS totaling more than \$50 million or more in the cost accounting period immediately preceding the period in which this proposal was submitted. The Offeror further certifies that if such status changes before an award resulting from this proposal, the Offeror will advise the Contracting Officer immediately.

☐ (4) Certificate of Interim Exemption.

The Offeror hereby certifies that (i) the Offeror first exceeded the monetary exemption for disclosure, as defined in (3) of this subsection, in the cost accounting period immediately preceding the period in which this offer was submitted and (ii) in accordance with 48 CFR 9903.202-1, the offeror is not yet required to submit a Disclosure Statement. The Offeror further certifies that if an award resulting from this proposal has not been made within 90 days after the end of that period, the Offeror will immediately submit a revised certificate to the Contracting Officer, in the form specified under subparagraph (c)(1) or (c)(2) of Part I of this provision, as appropriate, to verify submission of a completed Disclosure Statement.

(5) Certificate of Disclosure Statement Due Date by Educational Institution. If the Offeror is an educational institution that, under the transition provisions of 48 CFR 9903.202-1(f), is or will be required to submit a Disclosure Statement after receipt of this award, the Offeror hereby certifies that (check one and complete):

☐ (i) A Disclosure Statement Filing Due Date of _____ has been established with the cognizant Federal agency.

☐ (ii) The Disclosure Statement will be submitted within the 6-month period ending _____ months after receipt of this award.

Name and Address of Cognizant ACO or Federal Official Where Disclosure Statement is to be Filed:

Caution: Offerors currently required to disclose because they were awarded a CAS-covered prime contract or subcontract of \$50 million or more in the current cost accounting period may not claim this exemption (4). Further, the exemption applies only in connection with proposals submitted before expiration of the 90-day period following the cost accounting period in which the monetary exemption was exceeded.

II. COST ACCOUNTING STANDARDS--ELIGIBILITY FOR MODIFIED CONTRACT COVERAGE

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If the Offeror is eligible to use the modified provisions of 48 CFR 9903.201-2(b) and elects to do so, the Offeror shall indicate by checking the box below. Checking the box below shall mean that the resultant contract is subject to the Disclosure and Consistency of Cost Accounting Practices clause in lieu of the Cost Accounting Standards clause.

The Offeror hereby claims an exemption from the Cost Accounting Standards clause under the provisions of 48 CFR 9903.201-2(b) and certifies that the offeror is eligible for use of the Disclosure and Consistency of Cost Accounting Practices clause because during the cost accounting period immediately preceding the period in which this proposal was submitted, the offeror received less than \$50 million in awards of CAS-covered prime contracts and subcontracts. The Offeror further certifies that if such status changes before an award resulting from this proposal, the offeror will advise the Contracting Officer immediately.

Caution: An Offeror may not claim the above eligibility for modified contract coverage if this proposal is expected to result in the award of a CAS-covered contract of \$50 million or more or if, during its current cost accounting period, the Offeror has been awarded a single CAS-covered prime contract or subcontract of \$50 million or more.

III. ADDITIONAL COST ACCOUNTING STANDARDS APPLICABLE TO EXISTING CONTRACTS

The Offeror shall indicate below whether award of the contemplated contract would, in accordance with subparagraph (a)(3) of the Cost Accounting Standards clause, require a change in established cost accounting practices affecting existing contracts and subcontracts.

☐ yes ☐ no

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SECTION L -- INSTRUCTIONS, CONDITIONS AND NOTICES TO BIDDERS

L.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address (es):

[Insert one or more Internet addresses]

Clause	Title	Date
52.204-06	Data Universal Numbering System (DUNS) Number	June 1999
52.215-16	Facilities Capital Cost of Money	October 1997
52.232-38	Submission of Electronic Funds Transfer Information with Offer	May 1999
52.237-10	Identification of Uncompensated Overtime	October 1997

L.2 52.215-01 INSTRUCTIONS TO OFFERORS--COMPETITIVE ACQUISITION MAY 2001

(a) Definitions. As used in this provision--

"Discussions" are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's discretion, result in the Offeror being allowed to revise its proposal.

"In writing," "writing," or "written" means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"Proposal modification" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"Proposal revision" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"Time," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) Amendments to solicitations. If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(c) Submission, modification, revision, and withdrawal of proposals. (1) Unless other methods (e.g., electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages (i) addressed to the office specified in the solicitation, and (ii) showing the time and date specified for receipt, the solicitation number, and the name and address of the Offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

(2) The first page of the proposal must show--

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(i) The solicitation number;

(ii) The name, address, and telephone and facsimile numbers of the Offeror (and electronic address if available);

(iii) A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;

(iv) Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the Offeror's behalf with the Government in connection with this solicitation; and

(v) Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

(3) Submission, modification, revision, and withdrawal of proposals. (i) Offerors are responsible for submitting proposals, and any modifications, or revisions so as to reach the Government office designated in the solicitation by the time specified in the solicitation. If no time is specified in the solicitation, the time for receipt is 4:30 p.m., local time, for the designated Government office on the date that proposal or revision is due.

(ii)(A) Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and-

(1) If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or

(2) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers; or

(3) It is the only proposal received.

(B) However, a late modification of an otherwise successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.

(iii) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

(iv) If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume. (v) Proposals may be withdrawn by written notice received at any time before award. Oral proposals in response to oral solicitations may be withdrawn orally. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision at 52.215-5, Facsimile Proposals. Proposals may be withdrawn in person by an offeror or an authorized representative, if the identity of the person requesting withdrawal is established and the person signs a receipt for the proposal before award.

(4) Unless otherwise specified in the solicitation, the Offeror must propose all items in the solicitation.

(5) Offerors shall submit proposals in response to this solicitation in English, unless otherwise permitted by the solicitation, and in U.S. dollars, unless the provision at FAR 52.225-17, Evaluation of Foreign Currency Offers, is included in the solicitation.

(6) Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.

(7) Offerors may submit revised proposals only if requested or allowed by the Contracting Officer.

(8) Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.

(d) Offer expiration date. Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the Offeror).

(e) Restriction on disclosure and use of data. Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall-

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(1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this Offeror as a result of-or in connection with-the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

(f) Contract award. (1) The Government intends to award a contract or contracts resulting from this solicitation to the responsible Offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and sub-factors in the solicitation.

(2) The Government may reject any or all proposals if such action is in the Government's interest.

(3) The Government may waive informalities and minor irregularities in proposals received.

(4) The Government intends to evaluate proposals and award a contract without discussions with Offerors (except clarifications as described in FAR 15.306(a)). Therefore, the Offeror's initial proposal should contain the Offeror's best terms from a cost or price and technical standpoint. The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.

(5) The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.

(6) The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.

(7) Exchanges with Offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.

(8) The Government may determine that a proposal is unacceptable if the prices proposed are materially unbalanced between line items or sub-line items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the Contracting Officer determines that the lack of balance poses an unacceptable risk to the Government.

(9) If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.

(10) A written award or acceptance of proposal mailed or otherwise furnished to the successful Offeror within the time specified in the proposal shall result in a binding contract without further action by either party.

(11) The Government may disclose the following information in post-award debriefings to other Offerors:

(i) The overall evaluated cost or price and technical rating of the successful Offeror;

(ii) The overall ranking of all Offerors, when any ranking was developed by the agency during source selection;

(iii) A summary of the rationale for award; and

(iv) For acquisitions of commercial items, the make and model of the item to be delivered by the successful Offeror.

(End of provision)

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L.3 52.216-01 TYPE OF CONTRACT

APRIL 1984

The Government contemplates award of a firm, fixed price contract.

L.4 52.233-02 SERVICE OF PROTEST

AUGUST 1996

(a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from the person in Block #10, SF 33 cover of this solicitation.

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

L.5 PROPOSAL PREPARATION INSTRUCTIONS

Cost Volume – Unlimited page count

Technical and Management Volume – 150 pages (maximum), exclusive of resumes, cover and title pages, and any certifications. Text shall be at least one-and-one-half spaced, typewritten, on 8 ½ x 11 inch paper, with a minimum one inch margin all around. Text on resumes may be single spaced. Print shall be of a minimum 12-point font size or a maximum 10 characters per inch (10-pitch, pica) spacing. Bolding, underlining, and italics may be used to identify topic demarcations or points of emphasis. Graphic presentations, including tables, while not subject to the same restrictions, shall utilize spacing and text that is easily readable.

Pages in each Volume shall be consecutively numbered. Each Volume shall contain a Table of Contents and a List of Tables and Figures. This Table of Contents and list are index aids and will not count against page count limitations. They also should not contain any material intended for evaluation. Reference documents attached to the proposal will be counted as part of the page count.

It is the Offeror's responsibility to ensure the completeness of its proposal. The evaluation of proposals will be conducted on the basis of the information contained in the proposal. The Government will not assume that an Offeror possesses any capabilities not specified in the proposal. Offerors shall cross-index their proposal contents to the evaluation elements listed in SECTION M of this solicitation.

FINANCIAL CAPABILITY

Offerors should submit financial information for their company to Mr. Mark Oakey, Contracting Officer, no later than Noon, EST April 21, 2003 using the forms titled "Survey of Contractor's Control Environment and Overall Accounting Controls", "Preaward Survey of Prospective Contractor Financial Capability (Form 1407), and "Preaward Survey of Prospective Contractor Accounting System" (Form 1408). These may be submitted by facsimile on 202-418-0237, Attn.: Mark Oakey.

QUESTIONS

Please submit questions concerning this RFP to Mr. Mark Oakey, Contracting Officer, no later than Noon, EST, (new date), 2003 via e-mail, moakey@fcc.gov

REALISM OF COST PROPOSALS

An Offeror's proposal is presumed to represent its best efforts to respond to the solicitation. Any inconsistency, whether real or apparent, between promised performance and cost should be explained in the proposal. For example, if the intended use of new and innovative techniques is the basis for an abnormally low estimate, the nature of these techniques and their impact on cost should be explained; or, if a corporate policy decision has been made to absorb a portion of the estimated cost, that should be stated in the proposal. Any significant inconsistency, if unexplained, raises a fundamental issue of the Offeror's understanding of the nature and scope of the work required and of its financial ability to perform the contract, and may be grounds for rejection of the proposal. The burden of proof as to cost credibility rests with the Offeror.

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SUBMISSION OF COST OR PRICING DATA

- (a) It is expected that this contract will be awarded based upon a determination that there is adequate price competition; therefore, the Offeror is not required to submit or certify cost or pricing data with its proposal.
- (b) If, after receipt of the proposals, the Contracting Officer determines that adequate price competition does not exist in accordance with FAR 15.804-3, the offeror shall provide certified cost or pricing data as requested by the Contracting Officer.

ORAL PRESENTATIONS

Oral presentations will be scheduled with each responsive and responsible Offeror. This presentation is expected to be approximately one-half day in length. A detailed agenda will be supplied closer to the date of these oral presentations. The content of the oral presentations will be considered to be part of the Offeror's proposal and will become part of the evaluation. The basis of the oral presentation will be a high level summary of the Offeror's Technical and Management proposal followed by a question and answer period. The question and answer period will be restricted to proposal clarifications only. It is anticipated that the oral presentations will be held within two weeks after proposal submittal.

TECHNICAL AND MANAGEMENT – VOLUME 1

The Offeror shall not include any cost data in the Technical and Management Volume of its proposal.

The Technical and Management Volume shall demonstrate the Offeror's understanding of the requirements and shall demonstrate the Offeror's approach to meeting those requirements. The proposal shall include and will be technically evaluated on the following:

EVALUATION CRITERIA

Technical Factors

1. NANP Administration System Technical Approach: Offerors shall describe the proposed NANP Administration system architecture and operation and maintenance approach including, but not limited to, the following: (NANPA Technical Requirements Document, Section 7)

- System Architecture (hardware, software, internal and external interfaces), Network Management, Data Management, Enterprise System Management, and Scalability.
- System maintenance approach and schedule, including "out-of-service" notification process.
- Security approach for system access to application, forms, forecasting report forms, and NPA inventory.
- Batch (EFT) processing capability.
- Processes and tools to be used to ensure data integrity.
- Process for electronic transmission of data.
- Data storage and retrieval.
- System backup and recovery process.
- Report distribution capability.
- Help desk.
- Staff (categories and hours).
- Proposed facility location(s).

2. Implementation Approach: Offerors shall provide an implementation approach (tasks and milestones), staff management approach (staff categories and hours per task), risk management approach, change control approach, and quality assurance approach to develop, implement, and transition to the new NANP Administration system without disrupting current or continuing NANP Administration operations.

3. Understanding of NANPA Administrative Functions: Offerors shall demonstrate a knowledge of and ability to perform CO Code administration, NPA Relief Planning, and utilization and forecasting. Offerors shall provide procedures and processes for CO code administration. Discussion shall focus on client services, processing, communication and notification functions, status reporting, and tracking CO code utilization for NPA relief (NANPA Technical Requirements Document, Section 4). Offerors shall provide procedures and processes for NPA relief planning. Discussion shall focus on relief timing, relief planning, status reporting, NPA code assignment, and implementation (NANPA Technical Requirements Document, Section 5). Offerors shall provide procedures and processes for utilization and forecasting. Discussion shall focus on data request, data analysis, data reporting, data aggregation, and data anomalies and trends (NANPA Technical Requirements Document, Section 6).

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Management Factors:

1. Past Performance: Offerors shall provide at least three (3) past performance references using the form titled “Past Performance Request and Questionnaire” as an Attachment in Section J of this RFP. The Offeror's combined past performance shall demonstrate all of the following abilities:

- To develop and field a comparable automated system;
- To transition successfully from old automated system to new automated system with overnight cutover
- To staff, manage, and operate a NANP administration or comparable service operation;
- To meet schedule requirements and manage contract costs;
- To communicate with a wide spectrum of organizations, customers, and stakeholders;
- To provide full financial and operational reporting and insight; and
- To develop and implement escalation procedures

2. Key Personnel: Offerors shall clearly indicate those personnel (and positions) that are considered key to the effort and will be listed as such in the SECTION H clause “Key Personnel.” For each of these individuals, Offerors shall provide a 1-page resume that includes their educational background, job experience, and a list of specific efforts they have supported and references. For those positions that the Offeror anticipates filling after award of the contract, the Offeror shall provide the minimum educational background and job experience that will be acceptable.

3. Management Organization: Offerors shall provide an organization structure for operations to meet the functions and responsibilities of the NANPA. The structure shall include an organizational chart depicting the NANP administration organization by specific job functions and by organizational hierarchy. Offerors shall provide copies of all job descriptions that correspond to the organizational chart. If an Offeror intends to use subcontractors to perform NANP administration functions, the Offeror shall identify the names of the subcontractors and the portions of the work the subcontractors will perform. Offerors shall indicate how the NANPA effort fits in with its overall corporate goals and how the Offeror intends to guarantee neutrality.

4. Communications Approach: Offerors shall provide a communication approach and escalation procedures for establishing and maintaining the interface with the pooling administrator, LERG, NPAC, service providers, regulatory agencies, media, and the FCC.

COST – VOLUME 2

These instructions are to assist the Offeror in submitting cost or pricing type data. The Government requires this data to thoroughly evaluate the reasonableness of the proposed cost. Compliance with these instructions is required, and failure to comply may result in rejection of the proposal. The burden of proof for cost credibility rests with the Offeror. Data beyond that required by this instruction shall not be submitted unless it is considered essential to document or support the cost position. All information relating to cost or pricing type data must be included in Volume II – Cost Proposal. **Under no circumstances shall cost or pricing data be included elsewhere in the proposal or in the oral presentations.**

The cost proposal shall be predicated based upon the award of a Firm Fixed Fee contract. The Offeror shall provide comprehensive narrative support for the cost proposal. Failure to satisfy this requirement may be considered a serious deficiency. This also applies to each subcontractor and each interdivisional transfer. If work is to be performed by two or more divisions or subsidiaries within the prime corporation, each division or subsidiary shall submit a separate set of cost data for its portion of the effort. This does not relieve the offeror from incorporating these costs into the overall cost summary.

The cost proposal will present the Offeror’s understanding of the RFP’s requirements, the traceability of the cost to the Offeror’s technical proposal and the proposed allocation of staff hours and labor mix. Any inconsistency, whether real or apparent, between promised performance and cost or price should be explained in the cost volume. The burden of proof for the cost credibility rests with the Offeror.

Content

Offerors shall submit a cost proposal for this procurement in accordance with the following instructions. The Cost Proposal shall be based upon an anticipated award date of **2003**. The Cost Proposal shall include the following:

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a) A signed copy of the Standard Form (SF) 33 and other sections of the RFP requiring “fill-in.” On the first page of this volume, the offeror should certify that the proposal has been prepared completely consistent with the terms and conditions of the solicitation. However, if exceptions are taken, they shall be clearly set forth and shall be explained by the offeror with the understanding that the exceptions may render the offeror’s proposal unacceptable to the Government.

b) SF 1411 for the base period from of contract award, estimated to be _____ through _____, and SF 1411 type information for four twelve-month option periods; from _____ through _____.

c) SF 1411 for any proposed subcontractor (one for the base period and one for each twelve-month option period). Offerors who intend to use subcontracted effort as part of their proposal are responsible for ensuring that complete SF 1411 type information is provided relative to those subcontracts as part of their response to this solicitation. In addition, all subcontract proposals should contain a complete breakout and description of hours, rates, and other direct costs, and provide a summary sheet showing proposed costs by year. Proprietary information may be submitted to the Government under separate cover. Failure to comply with this requirement may result in significant problems in the cost evaluation of the proposal since the lack of complete cost data relative to the subcontracted effort may affect the Government’s ability to make a determination of the reasonableness and realism of the total effort proposed.

d) The names and telephone numbers of persons authorized to conduct negotiations, as well as the name of the official authorized to bind the Offeror’s organization. Additionally, Offerors are requested to state the name and telephone number of the cognizant DCAA branch office for their company with a point of contact who is familiar with the company, and the cognizant ACO. This applies to any proposed subcontractors as well.

Cost Realism

To minimize built-in cost growth, the Government intends to evaluate the realism of each Offeror’s proposed cost based on the Offeror’s proposed approach. Proposals may be penalized to the degree that the proposed costs are unrealistic. To assist the Government’s evaluation, Offerors are required to furnish the procedure and rationale used by the Offeror in compiling proposed costs. The offeror shall provide a summary description of the proposed standard estimating system or methods. The summary description shall cover separately each major cost element (i.e. direct labor, indirect costs, and direct costs). Also, the Offeror shall identify any significant deviation from the proposed standard estimating procedures in preparing this proposal. If the proposal contains any deviations from the Offeror’s normal forward pricing rates, either labor or burden, specifically identify the areas of deviation and state whether or not a formal change has been submitted to the cognizant Defense Contract Audit Agency (DCAA) office. The burden for cost credibility rests with the offeror.

Cost Information

The Cost Proposal shall also include line item level cost breakdowns of each contract line item number (CLIN). The breakdowns shall identify direct material costs, subcontractor costs, direct labor costs (including direct labor hours and rates), indirect expenses (including rates and the base to which they are applied), and other direct costs. Information shall be submitted for the following categories:

Direct Labor The cost proposal shall include a manpower loading table for the base year and each option year, containing proposed direct labor mix. The mix should be explained and justified. The cost proposals shall also contain an itemization of direct labor hours and direct labor costs, by CLIN and labor category, for the base year and each option year. An explanation shall be given as to the processes and calculations used to derive the proposed direct labor rates, including a discussion of rate escalation and how it was applied, if applicable. A copy of any current negotiated forward pricing agreements, if applicable, shall be provided, citing the period covered by the agreements.

Indirect Costs (Fringe Benefits, Overhead, General and Administrative Expenses). Indirect costs shall be proposed by applying indirect cost rates recommended by DCAA for forward pricing. When there is no agreement between DCAA and the offeror’s organization, the offeror will provide information showing trends and budgetary data as necessary to provide a basis for evaluation of forecast realism and future probabilities, and reasonableness of the proposed rates.

Other Direct Costs. Other Direct Costs shall be supported by cost and pricing data sufficient to establish the reasonableness and necessity of the proposed costs.

Cost Summary. The cost proposal shall itemize, by base year and each option year, all direct labor costs, consultant and subcontractor costs, if any, computer time, other direct costs, and all indirect costs for the total proposed.

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NOTICE: If an Offeror fails to comply with any of the requirements for proposal preparation as stated in this section (including, but not limited to page limits, character size, line spacing, and margins), the Government may elect not to evaluate the Offeror's entire proposal, or the part of the proposal which is determined by the Government not to comply with the proposal preparation instructions (e.g., where a proposal exceeds the page limit by 5 pages, the last 5 pages of the proposal may not be evaluated).

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SECTION M -- EVALUATION FACTORS FOR AWARD

M.1 52.252-01 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The Offeror is cautioned that the listed provisions may include blocks that must be completed by the Offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the Offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address (es):

[Insert one or more Internet addresses]

Clause	Title	Date
52.217-03	Evaluation Exclusive of Options	April 1984
52.217-04	Evaluation of Options Exercised at the Time of Contract Award	June 1988
52.217-05	Evaluation of Options	July 1990

M.1. GENERAL

This section describes the evaluation factors and basis for evaluation of proposals, selection, and award.

The Government will evaluate each Offeror's proposal against the following criteria listed in descending order of importance: Technical, Management, and Cost. The non-cost evaluation factors, when combined, are significantly more important than cost. The Government may select other than the lowest cost, technically acceptable offer if it determines that the additional technical merit offered is worth the additional cost in relation to the other proposals received. Award will be made to the responsible and technically acceptable Offeror whose Technical, Management and Cost proposals together provide the best overall value to the Government. The Government reserves the right to award without discussions.

The Government intends to use The MITRE Corporation to assist in the evaluation of proposals. The MITRE Corporation operates several federally funded research and development centers for various Federal agencies. The MITRE Corporation will have access to any and all information contained in an Offeror's proposal and will be subject to the appropriate conflict of interest, standards of conduct, and confidentiality restrictions.

M.2. EVALUATION CRITERIA

The following criteria will be evaluated based on completeness and quality of the response and a demonstration of the understanding of the requirements in the RFP.

A. TECHNICAL EVALUATION FACTORS

The following are the factors for the technical criteria. Factor 1 and 2 are equally important. Factor 3 is of least importance.

1. NANP Administration System Technical Approach

The Offeror demonstrates an understanding of the NANPA system requirements and provides confidence that the proposed NANPA system will enable the Offeror to satisfy the requirements of NANP administration. The Offeror also demonstrates an understanding of the system availability, security, testing, disaster recovery, backup, and help desk requirements and provides confidence (through analysis or other demonstrable means) that the new or modified NANPA system will enable the

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Offeror to meet the system performance and availability requirements.

2. Understanding of NANPA Administrative Functions

The Offeror demonstrates an understanding of the rules and procedures in the Report and Orders governing the NANPA activities and provides confidence that the Offeror will effectively and efficiently perform its duties as the NANPA. The Offeror demonstrates an understanding of the CO code administration, NPA relief planning, and utilization and forecasting requirements.

3. Implementation Approach

The Offeror demonstrates an understanding of the contract requirements and provides management approaches and a schedule that will facilitate a successful development and implementation of the NANPA system.

B. MANAGEMENT EVALUATION FACTORS

The following are the factors for the management criteria. Factor 1 and Factor 2 are of equal importance and each is more important than Factor 3 and Factor 4. Factor 3 is more important than Factor 4.

1. Past Performance

The Offeror's past performance demonstrates the following Offeror abilities:

- To develop and implement a comparable automated system.
- To staff, manage, and operate a NANP administration or comparable service operation.
- To meet schedule requirements and manage contract costs.
- To communicate with a wide spectrum of organizations, customers, and stakeholders
- To provide full financial and operational reporting and insight.
- To develop and implement escalation procedures.

2. Key Personnel

The Offeror demonstrates the qualifications and capabilities of key personnel required to develop, implement, and maintain the NANPA system and to perform NANP administration.

3. Management Organization

The Offeror demonstrates the organization structure and resources to satisfy NANPA responsibilities. All functions shown in the organization chart contain clear and complete job descriptions. The Offeror demonstrates its corporate neutrality and provides confidence that neutrality will remain intact during the entire contract period.

4. Communications Approach

The Offeror demonstrates an understanding of the contract requirements and provides communications approaches that will facilitate a successful development and implementation of the NANPA system. The Offeror provides confidence that it will provide appropriate communication with the pooling administrator, LERG, NPAC, service providers state, regulatory agencies, media, and the FCC.

C. COST EVALUATION FACTORS

The following are the factors for the cost criteria. Factor 1 is more important than Factor 2. Factor 2 is more important than Factor 3.

1. CLIN Price list

The Government will evaluate the proposed CLIN prices for continuity with the contents of the Technical Proposal.

2. Cost Realism

The Government will evaluate the realism of the Offeror's proposed cost. The purpose of the cost realism analysis is to determine if:

- The Offeror's proposed cost is realistic for the work to be performed;
- The proposed costs are consistent with the Offeror's forward pricing rate agreement or other standard proposal rates;
- The proposed cost demonstrates that the Offeror understands the Government's requirements; and
- The proposed costs are consistent with the various elements contained in the other volumes of the Offeror's proposal.

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3. Financial Capability

The Government will evaluate the financial capability of the Offeror. The purpose of the financial capability evaluation is to determine the general stability and operational viability of the organization.

M.3. REVIEW OF PAST PERFORMANCE EVALUATION

Award may be made from initial offers without discussions. In the event discussions are held and in accordance with FAR 15.306, the Government will provide the Offeror an opportunity to discuss unfavorable past performance information obtained from references on which the Offeror had not had a previous opportunity to comment.

However, Offerors are requested to proactively address issues that may have negatively affected their performance evaluation in their proposals.

To aid the Government in evaluating each Offeror's past performance, Offerors are encouraged to submit the past performance information specified in the solicitation prior to the closing date of the proposals under this solicitation.

M.4. UNBALANCED OR UNREALISTIC PROPOSALS

The Government may reject an offer as non-responsive if it is materially unbalanced as to costs for the basic requirement and the costs for option quantities. An offer is unbalanced when it proposes costs significantly less than realistic costs for some work and costs which appear significantly overstated for other work.

The Government may reject unrealistic proposals. Proposals which are unrealistic in terms of technical commitment or unrealistically low in cost will be deemed reflective of an inherent lack of technical competence or indicative of failure to comprehend the complexity of risk of the contract requirements and may be grounds for the rejection of the proposal.

M.5. ALL OR NOTHING PROPOSALS

Proposals offering less than all of the services required will not be considered.

M.6. EVALUATION OF OPTIONS (JUL 1990) 52.217.5

Except when it is determined in accordance with FAR 17.206(b) not to be in the Government's best interest, the Government will evaluate offers for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the option(s).

M.7. BASIS FOR AWARD

Award will be made to that Offeror whose capabilities, risks, and costs represent the best value to the Government. For this solicitation, the Government is concerned with achieving the most advantageous balance between the technical and management features of the proposals and cost. However, if the technical and management features of the proposals are determined to be essentially equivalent, the evaluated cost may become the determining factor for award. The determination that technical and management approaches essentially are equal is in the discretion of the Source Selection Authority.

The Government is reserving the right to award a contract without discussions. A maximum of one award will result from the solicitation.

NANPA TECHNICAL REQUIREMENTS DOCUMENT

(Description/Specifications)

March 2003

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Glossary

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Section 1

Introduction

1.1 Purpose

This document defines the North American Numbering Plan (NANP) Administrator's technical, operational, and system requirements and describes the full functionality required of the designated North American Numbering Plan Administrator (NANPA). It also serves as a reference document to other resources, such as industry guidelines, United States Federal Communications Commission (FCC or Commission) orders, technical standards, and technical requirements that support the NANP.

The contractor shall, at the FCC's discretion, perform the duties of the NANPA for up to a five-year term from the date of award.

1.2 Scope

This document describes the technical responsibilities of the vendor selected by the FCC to serve as the NANPA. The primary scope of this document is to define the NANPA's performance within the United States.

The NANPA's role in the United States includes the following functional areas: overall NANP Administration, Central Office (CO) Code Administration, Numbering Plan Area (NPA) relief planning, collection and analysis of utilization and forecast data, report generation, and all other related NANP Administration functions. Each of the functions is described further in the document.

1.3 Background

The NANP is the basic numbering scheme for the Public Switched Telephone Networks (PSTNs) in the following 19 countries (formerly known as World Zone 1): Anguilla, Antigua & Barbuda, Bahamas, Barbados, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Trinidad & Tobago, Turks & Caicos Islands, and the United States (including Puerto Rico, the U.S. Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands and American Samoa).

The format of the NANP is consistent with International Telecommunication Union (ITU) Recommendation E.164 "The International Public Telecommunication Numbering Plan."

The administration of the NANP was originally the responsibility of AT&T until divestiture. At that time, Bellcore was instructed to take over this administrative task. In 1997, this

function was awarded to the company that is now NeuStar through a competitive bid process conducted at the direction of the FCC.

The term NPA Code refers to an area code that is the first three digits of a telephone number. Each digit in a telephone number is identified by an alphabetical character in the order ABC-DEF-GHIJ, consisting of a 3-digit NPA (ABC), a 3-digit CO Code (DEF), and a 4-digit Line Number (GHIJ). This is in the format NXX-NXX-XXXX, where: N = digits 2 to 9 and X = digits 0 to 9 (e.g., 613 is the NPA code in the NANP number 613-781-0610). There were 312 geographic NPA codes in service as of March 1, 2003. The number of new area codes assigned in the United States since 1995 is shown in the table below:

Year	Number Assigned
1995	14
1996	11
1997	32
1998	22
1999	43
2000	23
2001	21
2002	3

There shall be a transition from the current administrator to the new administrator should the NANPA responsibility be awarded to a new party.

1.4 Attributes

The NANPA's role is to serve as the neutral numbering administrator. The NANPA must comply with the statutory requirements for neutrality and meet the Commission's neutrality requirements, set forth in Commission rule 52.12, 47 C.F.R. § 52.12.

Rule 52.12 states:

(a)(1) Neutrality. The NANPA [] shall be [a] non-governmental entities that [is] impartial and not aligned with any particular telecommunication industry segment. Accordingly, while conducting [] operations under this section, the NANPA shall ensure that [it] compl[ies] with the following neutrality criteria:

(i) The NANPA [] may not be an affiliate of any telecommunications service provider(s) as defined in the Telecommunications Act of 1996. "Affiliate" is a person who controls, is controlled by, or is under the direct or indirect common control with another person. A person shall be deemed to control another if such person possesses, directly or indirectly--

(A) An equity interest by stock, partnership (general or limited) interest, joint venture participation, or member interest in the other person ten (10%) percent or more of the total outstanding equity interests in the other person, or

(B) The power to vote ten (10%) percent or more of the securities (by stock, partnership (general or limited) interest, joint venture participation, or member interest) having ordinary voting power for the election of directors, general partner, or management of such other person, or

(C) The power to direct or cause the direction of the management and policies of such other person, whether through the ownership of or right to vote voting rights attributable to the stock, partnership (general or limited) interest, joint venture participation, or member interest) of such other person, by contract (including but not limited to stockholder agreement, partnership (general or limited) agreement, joint venture agreement, or operating agreement), or otherwise;

(ii) The NANPA [] and any affiliate thereof, may not issue a majority of its debt to, nor may it derive a majority of its revenues from, any telecommunications service provider. "Majority" shall mean greater than 50 percent, and "debt" shall mean stocks, bonds, securities, notes, loans or any other instrument of indebtedness; and

(iii) Notwithstanding the neutrality criteria set forth in paragraphs (a)(1) (i) and (ii) of this section, the NANPA [] may be determined to be or not to be subject to undue influence by parties with a vested interest in the outcome of numbering administration and activities. []

(2) Any subcontractor that performs--

(i) NANP Administration and central office code administration [] must also meet the neutrality criteria described in paragraph (a)(1).

Potential bidders must demonstrate that they meet the Commission's neutrality requirements through submission of a certificate signed by a Chief Executive Officer or President that explicitly certifies the bidder meets each requirement. The successful bidder will be required to re-certify to its compliance at the time of award. Potential bidders, as well as the successful bidder, should be prepared to provide any other documentation verifying compliance as may be requested by the Commission.

The entity selected to be the NANPA must adhere to all Commission neutrality requirements, orders, and policies throughout the term of the contract. In this regard, to avoid potential disruption of national numbering administration, the successful bidder will be required to apprise the Commission of any proposed changes that may affect its neutrality sufficiently in advance to permit review of the proposed changes and Commission determination as to whether any cure would be necessary to ensure NANPA neutrality. Such changes might be, but are not limited to, changes to organizational or ownership structure, investors, Board of Directors, etc.

The NANPA is the designated independent, neutral entity responsible for assigning and administering NANP resources in an efficient, effective, fair, unbiased, and non-discriminatory manner consistent with regulatory directives and industry guidelines, and is required to comply with state regulatory decisions, rules and orders, as applicable, as long as they are not in conflict with FCC decisions, orders, and rules.

The NANPA shall also ensure that numbering administration in the United States is effective, while using the expertise and innovation of industry to promote number optimization. It also shall support efforts to accommodate current and future numbering needs, and to advise the industry and regulators relative to numbering issues (*e.g.*, potential resource exhaust).

1.5 Environment

1.5.1 Regulatory

The FCC has authority over numbering within the United States. The other NANP member nations exercise similar regulatory jurisdiction.

The FCC has delegated specific authority to state regulatory agencies in the United States. All states have been delegated authority over NPA Relief. In addition, some states have been given authority to trial certain number conservation measures. They have also been granted authority to obtain data, reclaim resources, and establish and enforce number allocation standards.

In the future, regulatory authorities may issue rules, requirements or policy directives, which may increase, decrease or otherwise affect the functions to be performed by the NANPA.

1.5.2 Federal Advisory Committee

The North American Numbering Council (NANC) is a Federal Advisory Committee established pursuant to the United States Federal Advisory Committee Act, 5 U.S.C., App. 2 (1988) (FACA). The NANC was established to advise the FCC on issues related to NANP Administration, and to advise the Commission on local number portability (LNP) administration issues. The NANC develops policy recommendations on numbering issues, initially resolves disputes, and provides guidance to the numbering administrators.

The NANC's charter under the FACA provides that, in carrying out its responsibilities, the NANC shall ensure that NANP Administration supports identified policy objectives. The NANC shall ensure that the NANPA:

- Facilitates entry into the communications marketplace by making numbering resources available on an efficient, timely basis to communications service providers.
- Does not unduly favor or disfavor any particular industry segment or group of consumers.

- Does not unduly favor one technology over another.
- Gives consumers easy access to the public switched telephone network.
- Ensures that the interests of all NANP member countries are addressed fairly and efficiently, fostering continued integration of the NANP across NANP member countries.

1.5.3 Industry Activities

The industry develops number administration guidelines for the United States based on industry consensus and regulatory direction. The Industry Numbering Committee (INC), operating under the auspices of the Alliance for Telecommunications Industry Solutions (ATIS), is the industry forum established to develop such guidelines.

The mission of the INC is to provide a forum to address and resolve industry-wide technical issues associated with the planning, administration, allocation, assignment and use of numbering resources and related dialing considerations for public telecommunications within the NANP area.

INC guidelines incorporate federal regulatory requirements with technical and operational principals. The guidelines also recognize the existence of specific regulations in states where FCC-delegated authority has been granted.

Industry guidelines and regulatory directives are subject to change throughout the NANPA's Term of Administration.

Section 2

General Requirements

This section describes the functions to be performed by the NANPA.

The scope of this document reflects the NANPA's functions, along with FCC rules, FCC orders, state regulatory directives made under FCC-delegated authority, and industry guidelines.

This document describes the functional requirements, administrative tasks, and components of the responsibilities and duties of the NANPA. The bidders shall also refer to related regulatory orders issued by the FCC and states with delegated authority, industry guidelines, technical standards, and NANC-related documentation. A List of References follows Section 11 in this document.

2.1 High-Level Requirements

The four high level requirements of the NANPA are indicated below.

2.1.1 Assigning and Administering NANP Resources

In accordance with 47 C.F.R. § 52.13(b), the NANPA shall assign and administer NANP resources in an efficient, effective, fair, unbiased, and non-discriminatory manner consistent with regulatory directives and industry guidelines.

2.1.2 Accommodating Current and Future Numbering Needs

The NANPA shall participate in industry efforts to accommodate current and future numbering needs at the NPA level and the NANP level. The NANPA shall advise the regulators and industry relative to numbering issues, potential resource exhaust, and all routing and rating issues that may affect service to users.

In addition to its many day-to-day numbering resource assignment and administrative activities, the NANPA shall provide sufficient focus on long-term planning to ensure the continued viability of the NANP. The NANPA shall update its processes, procedures, systems, and forms to reflect regulatory orders, rules, and directives.

The NANPA shall implement a planned approach utilizing effective forecasting and management tools in order to make everyone aware of the availability of numbering resources to meet current and future needs.

Critical components of NANP Administration include NPA relief planning and providing systems and tools for managing number administration.

2.1.3 Administrative Resources for Legal, Financial, and Technical Responsibilities

The NANPA shall maintain necessary administrative resources to handle the legal, financial, and technical responsibilities required to manage all numbering resources.

2.1.4 Supervision for All Services and Responsibility for Achieving Performance Objectives

The NANPA shall provide management supervision for all of the services it provides, including responsibility for achieving performance objectives. The establishment of these objectives is a collaborative effort between the NANPA, the FCC, state commissions, the NANC, and the INC.

2.2 Relationships

2.2.1 United States

The NANPA shall establish and maintain relationships within the United States with entities such as the FCC, other federal agencies, and state regulatory authorities, as appropriate.

The NANPA shall cooperate with and actively participate in policy and technical numbering bodies and industry forums, such as the NANC and its subtending groups, and the INC.

2.2.2 International

The NANPA shall develop and maintain communications with all other NANP member countries to ensure that their numbering needs are met.

The NANPA shall attend U.S. Department of State Study Group A meetings.

In addition, the NANPA shall maintain a working knowledge of ITU Study Group 2 activities for the benefit of the U.S. telecommunications industry.

Attendance at international meetings is not covered by the scope of this contract.

2.3 Administration and Management

The NANPA shall manage the NANP in accordance with the most current regulatory directives and policies and published industry guidelines.

Occasions may arise where decisions and interpretations are required on issues that have not yet been addressed. The NANPA shall have the knowledge and capability to recognize these instances and refer them to the appropriate body for resolution.

The NANPA shall perform as the steward of the numbering resources. In this capacity, the NANPA shall monitor the status of resources in all areas of the NANP and take appropriate action to ensure the timely availability of numbering resources.

2.3.1 Requests for Numbering Resources

Applications for numbering resources shall be submitted to the NANPA by service providers via the Internet, facsimile, or the U.S. Mail. The NANPA shall use a standard electronic format for application transmissions. All applications received by the NANPA shall, in turn, generate a confirmation back to the submitting service provider.

The NANPA shall review requests for numbering resources (*e.g.*, NPAs, central office codes) for accuracy and appropriateness per FCC requirements and industry guidelines.

2.3.2 Service Provider and Regulator Support

The NANPA shall serve as the information resource for regulatory bodies and the industry concerning numbering resource issues related to NANP Administration (*e.g.*, ITU E.164 Recommendation, NANP, NANP Administration, regulatory issues affecting numbering, number resource assignment guidelines, CO Code administration, and relief planning and relevant international numbering issues).

The NANPA shall respond to inquiries about the numbering plan. The NANPA shall provide, upon request, information on how to obtain current documents and forms related to NANP Administration (including application for automated access to its systems and all other materials needed to properly request the assignment or disconnect of numbering resources, or change of numbering data) by referring requesters to specific NANPA web pages where they can download electronic copies or other sources as appropriate (*e.g.*, to the FCC, state commissions, the INC). The NANPA shall provide copies of documents it generates by facsimile or U.S. Mail if the document is not available via the Internet. A list of documents related to NANP Administration is provided in the List of References following Section 11 in this document.

2.3.3 Numbering Resource Optimization

The NANPA shall provide assistance to users of numbering resources and suggest alternatives, when possible, that shall optimize numbering resource utilization.

The NANPA shall coordinate its numbering resource activities with the Canadian Number Administrator and other NANP member countries' administrators to ensure efficient and effective management of NANP numbering resources.

The NANPA shall be knowledgeable regarding numbering resource optimization methods (*e.g.*, rate center consolidation, individual telephone number pooling, thousands- block number pooling) and the potential impact upon the NANP itself. The NANPA shall remain completely neutral and shall not take a position that favors one numbering resource optimization method over another.

The NANPA shall not take independent action with respect to adoption of optimization methods that are not within existing guidelines or regulatory directives. However, the

NANPA shall recognize optimization opportunities and bring this information to the attention of the appropriate body for consideration. The NANPA shall remain cognizant of its obligation to remain neutral.

2.4 Cost Allocation

The North American Numbering Plan Billing and Collection, Inc. (NBANC) shall determine the final allocation methodology for sharing costs between NANP countries in accordance with the Billing and Collection Agent Requirements Document, or appropriate regulatory documentation. Should cost allocation disputes arise, NBANC shall request FCC guidance. In no circumstances shall the NANPA decide on its own the cost methodology or allocation between and among NANP member countries.

2.5 Staffing

The NANPA shall maintain the necessary staffing levels to support industry and regulatory work relevant to the management of all NANP numbering resources.

The NANPA shall maintain necessary administrative resources to handle the legal, financial, and technical responsibilities connected with the management of all numbering resources.

The NANPA shall maintain the necessary equipment (*e.g.*, inventory systems, facilities, and proper billing arrangements associated with day-to-day management of numbering resources) to support this staff.

All employees and subcontractors of the NANPA who have access to a service provider's confidential information shall execute a non-disclosure agreement that remains in effect following the termination of employment.

Subcontractors may be used to perform work under this, or subsequent, Terms of Administration.

2.6 Telecommunications Requirements

The NANPA shall have voice and data capabilities in order to communicate with all clients and the public concerning NANP Administration.

Each NANPA staff member who has responsibilities for interfacing with clients shall be reachable directly by those clients.

The telephone system shall provide the capability to allow a caller to easily leave a message. This may be accomplished by an electronic messaging system that allows the caller to leave a message for the person called.

The NANPA shall maintain access to routing and rating databases.¹ This can be accomplished through dial-up access. The NANPA shall also have access to the information contained in the Local Exchange Routing Guide (LERG) or an equivalent.

The NANPA shall maintain access to Number Portability Administration Center (NPAC) data the NANPA needs to perform its responsibilities. The data shall be obtained from the NPAC administrator per the details defined by the North American Portability Management, Limited Liability Corporation (LLC) that oversees the vendor of the local number portability systems and administration or as otherwise provided by FCC requirements.

2.7 Daily Operations

The NANPA shall be available a minimum of five business days per week (Monday through Friday), eight hours per day during the business hours of its clients. However, since the NANP service area covers several time zones, the NANPA shall provide a mechanism (*e.g.*, voicemail, e-mail, facsimile) to be accessible on a 24-hour basis in order to meet the needs of all of its clients.

The NANPA shall maintain a log of all client contacts for review by the Auditor and other parties as designated by the FCC.

2.7.1 Inquiry Response

The NANPA shall respond within the next business day (to be defined in the time zone where the inquiry was originated) to general inquiries or questions.

The NANPA shall monitor and report on its customer response rates. This report shall be furnished upon request and used to review the NANPA's customer service activities per the annual performance review process.

2.7.2 Emergency Notifications

The NANPA shall be called upon to provide industry notification outside of the accepted timeframes defined in industry guidelines. These notifications shall be issued as appropriate and necessary depending on the circumstances.

2.7.3 Holidays

The NANPA shall observe U.S. holidays. The following is a list of holidays that the NANPA shall observe:

¹ The Business Integrated Routing and Rating Database System, BIRRDs, is a Telcordia system that the industry uses to provide input access to the LERG. The LERG is the Local Exchange Routing Guide that contains the rating and routing information for assigned CO Codes.

- New Year's Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day
- Christmas Day

NANPA shall be open for business on all other business days.

On an annual basis, the NANPA shall post a list of the holidays observed and the calendar dates of those holidays on the NANPA web site.

2.8 Physical Location

The physical location of the NANPA facility(s) is at the discretion of the contractor.

The NANPA shall notify clients and the public, by appropriate means, prior to any facility relocation or telephone number change.

2.9 Travel

NANPA staff shall travel, when necessary, to meet the needs of the NANPA (*e.g.*, to NANC meetings, INC meetings, NPA jeopardy situations, NPA relief planning meetings, or as otherwise necessary to comply with FCC requirements).

2.10 Modification of Guidelines

The NANPA shall participate in the development and modification of guidelines and procedures, which may affect the performance of the NANPA functions. These changes may come from regulatory directives and/or modifications to guidelines. In addition, new guidelines may be developed as appropriate to comply with regulatory directives. The NANPA shall adopt and implement any changes that are consistent with regulatory directives after they are officially adopted, recognizing that some may constitute a change in the scope of work.

The NANPA shall:

- Provide, in real time, technical guidance to ensure processes and procedures are effective in meeting the goals of the change.
- Assess and share in real time the cost implications and administrative impact upon the NANPA duties and responsibilities.

- Provide contributions, describing how the change benefits the NANP and how the change shall affect the NANPA's duties, obligations or accountability.

Within seven days of a change, the NANPA shall provide its interpretation of the change, its impact upon service, the date the new change is proposed to become effective, what steps in current procedures need to change and when any new forms or procedures will be required. The NANPA shall provide this information to the FCC and the NANC. When the INC places any changes to its guidelines in initial closure, the NANPA shall submit an assessment regarding the impact of scope of work, time and costs to the INC, the NANC and the FCC within 30 days.

The NANPA shall post changes in procedures on its web site prior to the change taking effect.

The NANC shall be consulted at the FCC's discretion regarding the suggested implementation date to determine the likely impact on service provider processes and systems (i.e., whether it would be unduly burdensome or would unfairly disadvantage any service provider or group of service providers per the NANPA's obligations and NANP administrative principles).

Specifically, the NANPA shall:

- Notify all interested parties when guidelines have changed.
- Interpret guideline changes and impact upon processes.
- Identify implementation date or effective date.
- Provide notification of new forms or tools that may be required.
- Identify a Single Point of Contact (SPOC) within the NANPA to answer questions.
- Accept, process, and verify the accuracy of applications for CO Codes in accordance with regulatory requirements and industry guidelines.
- Contact code applicant as necessary to gain clarification or additional information in order to process the application when first submitted.
- Review entire application, identifying all errors and omissions when first submitted.
- Provide information or location of tools and contacts to assist applicants in properly completing applications for connects, changes and disconnects.

2.11 Audits

The NANPA and service providers shall be subject to audits to verify their compliance with guidelines and regulations relating to all applicable areas of number administration.

2.11.1 For Cause Audits of Service Providers

In the performance of its numbering administration duties and in meeting its responsibilities, the NANPA may encounter situations that may alert it to a service provider's possible noncompliance with the industry guidelines. This noncompliance warrants the need for a "For Cause" audit.

In these situations, the NANPA shall document its observations and forward relevant information to the FCC, service provider, and appropriate state commission.

The NANPA shall maintain the confidentiality of all requested information throughout the auditing process.

2.11.2 Other Audits of Service Providers

The NANPA shall be required to provide specific data to an auditor in order to facilitate the audit of a service provider. Currently, there are four audits per quarter.

2.12 Dispute Resolution

The NANPA may be involved with dispute resolution. These disputes could arise from the performance of NANPA activities, from industry forum activities, or from conflicting government or regulatory policy directives. The extent of involvement of the NANPA in the resolution of disputes shall depend on the nature and origin of the dispute. A Dispute Resolution process, established by the NANC, shall be followed for determination of the controversy.

The NANPA shall assign numbering resources based on regulatory directives and industry guidelines. A disagreement may arise when the NANPA is assigning or denying the assignment of a resource, and the NANPA shall be required, based on the relevant regulatory directives, assignment guidelines, and the NANC Dispute Resolution process, to address and, if possible, resolve the disagreement. In addition, disputes may arise between regulatory authorities of NANP member countries and the NANPA may be required to participate in the resolution of the issue between the countries involved.

The NANPA shall interpret and apply relevant guidelines, directives, and Orders, including those listed in the *Index to the Binder of Decisional Principals* (see Appendix C), to resolve a disagreement when assigning or denying the assignment of a numbering resource.

Disputes may also arise within industry numbering activities. When this occurs, the NANPA may be requested to participate in dispute resolution by providing guidance and/or historical data.

The NANPA shall abide by the NANC dispute resolution process. The NANPA shall provide any information it has relative to the dispute to the appropriate group responsible for resolving the dispute.

For all disputes, concerns, complaints, and issues raised by clients, oral or written, the NANPA shall prepare a document that contains:

- Description of the dispute, concern, complaint, or issue (recorded within one business day)
- Plan of action (recorded within one business day)
- The resolution and reasoning (recorded within one business day of resolution)
- Business days passing before referred to appropriate state or federal regulators
- Business days passing before resolution accepted by complainant

2.13 Data Security

The NANPA shall be responsible for maintaining the security, reliability, performance and flexibility of the NANP Administration systems. The systems shall protect the sensitive nature of any information provided by service providers, the Pooling Administrator (PA) or any other source of proprietary or confidential information.

The NANPA shall protect any service provider-specific data designated as confidential unless otherwise directed by that service provider or the FCC.

2.13.1 Limited Access

All work areas shall have limited access and secured record retention practices to ensure that service provider-specific data is afforded the level of security required to maintain its designated security status.

NANP Administration Systems shall have, at a minimum, security measures that are in conformance with the FCC Computer Security Program (FCC INST 1479.2). Systems shall include appropriate security measures for confidential data and accessibility for all service providers to their own information through an appropriately secured mechanism. The NANPA shall provide state commissions limited password-protected access to the CO Code administration database.

2.13.2 Physical Security

The NANPA shall provide suitable security for any and all computer systems that contain assignment information and proprietary applicant information. This includes any system that is connected to any telecommunications network. The NANPA shall maintain and enforce physical security procedures that conform to the requirement to maintain confidential and proprietary information.

The NANPA shall also be responsible for the activities of any subcontractors to ensure the security of all systems and data, including requiring all subcontractors to execute a nondisclosure agreement.

The NANPA shall ensure that any data requested by a non-NANPA entity is protected as confidential by that entity through applicable law or another documented nondisclosure mechanism.

2.13.3 Site Visits

The FCC, with or without notice to the NANPA, shall have the right to make visits to NANP Administration and data centers to review safety/security requirements. If the safety and physical security procedures do not comply with those specified, the NANPA shall correct such noncompliance within ten business days.

In the event of non-compliance the NANPA shall implement corrective measures and give notice of such implementation to the FCC, and the FCC may make one or more follow-up visits to the affected site, as necessary, to confirm that the deficiency has been rectified. The FCC's rights under this paragraph shall not in any way limit the FCC's ability to visit any site for reasons other than a safety/security visit.

Inspections shall include, but not be limited to, the facilities of subcontractors, telecommuting employees of the NANPA or subcontractors, NANPA or subcontractor maintenance organizations, or individuals on traveling status with access to NANPA's systems.

2.13.4 Data Accessibility

Systems shall have logon ID and password access. Formal access shall be initiated upon receipt of a completed logon ID request form having the proper signature approvals from the requesting organization. The user's security requirement sets the correct level of record access and system capabilities. For forms and reports requiring an applicant signature, a valid logon ID and password shall be considered tantamount to an applicant signature.

2.13.5 Unauthorized Access

In the event that the NANPA becomes aware of an unauthorized access to its systems or user or service provider data, the NANPA shall immediately notify the FCC and the applicable user(s) by e-mail, investigate the unauthorized access, and provide the FCC and its designees with reasonable access to all resources and information in the NANPA's possession as may be necessary to investigate the unauthorized access. The FCC shall have the right to conduct and control any investigation relating to unauthorized access that it determines is appropriate.

2.14 Implementation Plan

The NANPA shall provide an Implementation Plan to the FCC within 30 days of contract award and an update of the Plan 30 days prior to the takeover of NANP Administration. The objective of this Implementation Plan shall be to achieve a seamless continuance of NANPA services across Terms of Administration.

2.15 NANPA Transition to Successor

The NANPA shall transfer, in the case of termination or at the expiration of the Term of Administration, to the FCC or designee all hardware, software, and rights to software contracts and other intellectual property used in conjunction with the NANP Administration Systems. This means that everything transfers, including all items attached to the NANP Administration Systems.

This NANPA transition is additionally subject to the termination and continuity provisions in Section H of the Solicitation. All bidders should identify transition-related costs separately, including costs for transition from its predecessor and costs for transition to a successor.

Any other equipment or contracts associated with NANPA day-to-day operation shall transfer. This shall include but is not limited to:

- The systems and all supporting documentation
- All software
- All hardware
- Computers and related equipment
- Other peripheral devices
- All NANPA records both current and stored

2.15.1 Transfer Efficiency

The transfer of all property shall be performed in a manner that shall ensure an efficient and orderly transition of the NANP Administration System and associated equipment to a successor's environment in a fully operational state.

2.15.2 Technical Support

The NANPA shall provide at least 15 working days, but up to 45 working days over a 6-month period, if required, of technical support to ensure a smooth transition of the system.

2.15.3 Documentation

The contractor shall provide the FCC with copies of all documentation specified in the System Documentation Plan.

2.15.4 Transition Plan

The NANPA shall, 180 calendar days prior to contract termination, provide a detailed plan for an efficient and orderly transition. This transition plan shall follow the format, as applicable, of Reference 28, *Software Transition Plan (STrP)*.

2.16 Term of Administration

The NANPA shall serve for an initial period of up to five years.

At any time prior to the termination of the initial Term of Administration, the Term of Administration may be renewed up to five years in length with the approval of the NANPA and the FCC.

2.17 Interfaces

The NANPA shall interact with the PA, the NPAC, the LERG, state, Federal and NANP member country regulatory authorities, as well as with service providers.

The NANPA shall also interact with the news media concerned with numbering matters. Information and data shared with the news media shall be factual in nature, publicly available and previously made known to the industry and regulators prior to media disclosure.

At this writing, NeuStar is both the PA vendor and the NPAC vendor. Telcordia maintains the LERG. Service providers, federal and state regulators, and NANP member countries are responsible for establishing mutually-agreed upon communication interfaces with the NANPA that meet their individual equipment requirements.

2.17.1 Interface With the Pooling Administrator

The interface between the PA and the NANPA shall be used to exchange information on the status of pooling and to solicit data that is relevant to the daily functions of each administrator.

2.17.2 Interface With the LERG

The NANPA shall maintain access to the LERG to perform both its administrative functions and the required Enterprise Service.

The LERG interface consists of dial-up modem access. The interface shall be used to enter data into the BIRRDS database for central office code assignments. (Telcordia maintains the

BIRRDs database, which is used to modify LERG data.) This interface shall be used to view LERG data, as needed. Telcordia offers other methods of viewing LERG data. The NANPA shall arrange directly with Telcordia for LERG access.

2.17.3 Interface With the Number Portability Administration

The interface shall be used to request information from the NPAC about NXXs that are about to be reclaimed by NANPA to ensure that there are no ported Telephone Numbers (TNs) contained within the NXX targeted for reclamation. If the NANPA finds that there are ported TNs within the targeted NXX, the NANPA shall refer to the appropriate guideline for alternative reclamation processing steps.

2.17.4 Interface With the Service Providers

The Service Provider (SP) interface shall be used to receive NANP resource applications and to send assignments, in a relay between the NANPA and a service provider.

Any or all of the following interfaces also may be necessary, depending on the particular service provider with which interaction is taking place: system-to-system (FTP), web site, e-mail, facsimile, and U.S. Mail. For example, these interfaces shall be used to receive requests and to send assignments. They are also used for Number Resource Utilization and Forecasting (NRUF) form submissions and to return a confirmation receipt to the service provider after an application and/or form has been accepted by the NANP Administration System for processing. NANPA is responsible for ensuring the availability of these interfaces.

2.17.5 Interface With the Regulatory Agencies

This interface shall support state regulatory access as appropriate to forms and applications filed by service providers. It may also be necessary to fulfill a data request by voice, facsimile or U.S. Mail. For example, the interface shall be used to provide a regulator aggregated forecast and utilization data for an NPA within its jurisdiction.

The NANPA may be called upon to testify in regulatory hearings. In these cases the NANPA shall ensure that its testimony is specific to the scope and requirements of this contract. Testimony in regulatory hearings shall be treated as an enterprise service (see Section 11).

The NANPA shall also be responsible for interfacing with regulatory authorities in person, when requested by such authority. The nature of these meetings may be educational or informational depending on the circumstances and issues identified.

2.17.6 Interface With the Media

The NANPA shall also be required to communicate with the press.

The NANPA shall prepare press releases and speak to the public in matters relating to all aspects of administration and management of NANP resources.

2.17.7 Interface With the ITU Technical Standards Bureau

The NANPA shall interface with the ITU-Technical Standards Bureau (TSB) when required to provide information regarding the NANP. This information shall consist of the latest web links, contact individuals and timely information on the NANP, and any changes to the NANP (*e.g.*, the introduction of new NPAs) as required from national numbering administrators per ITU Recommendations.

2.17.8 Interface With the ITU Study Group 2

The NANPA shall interface with the U.S. State Department and participating service providers through their attendance at ITU Study Group 2 meetings and activities. The NANPA's role shall be to advise the participants as to whether international issues and conflicts shall have an impact on the management and availability of NANP resources.

2.18 Mobile Identification Number Block Identifier Administrator

The NANPA shall be required in the United States to work with the neutral third party Mobile Block Identifier (MBI) administrator, for the Mobile Identification Number (MIN) administration for wireless LNP and thousands-block number pooling.

MIN-based wireless providers register existing MBIs and obtain new ones through the MBI Administrator. NANPA shall interface with the MBI Administrator on, among other issues, MBI Resources and NPA splits.

2.18.1 MBI Resources

MBI Administration needs to continually add MBI resources to its database. The MBI Administration Guidelines and Procedures, developed by Cellular Telephone Industries Association (CTIA) and the MBI Oversight Council, state that "MBI Administration shall monitor the assignment of central office codes on an ongoing and timely basis." The NANPA shall provide the MBI Administrator information on the resources that are available as assignable MBIs.

2.18.2 NPA Splits

In an NPA split situation, the wireless providers retain the MINs of the old NPA, even if their Mobile Directory Numbers (MDNs) change because of the split. The MDNs associated with the MINs may have a different NPA and may become available for assignment in the old NPA, but the MINs or MBIs remain the same so that customers do not have to bring in their handsets to be reprogrammed. If an NPA-NXX combination becomes available for assignment of MDNs in the old NPA, that corresponding MIN bloc should already show up

in the MBI administrator's database as "assigned" and the corresponding MINs shall not be assigned again to a different carrier. In addition, the MBI Guidelines state that the MBI administrator shall not assign the corresponding MBIs for unassigned CO Codes in order to accommodate non-LNP capable carriers. This is true for all NPAs. If, however, the MBI has already been assigned before the split and now the corresponding NPA-NXX becomes available for MDN assignment in the old NPA, it creates a need for communication with the NANPA so that the NANPA does not assign newly available or "freed-up" NPA-NXX combinations to non-LNP wireless carriers. This is because the corresponding MBI would already be assigned and would not be available.

Section 3

NANP Administration

The NANPA is responsible for management, administration, and assignment of all designated numbering resources within the NANP.

The following list identifies NANP numbering resources that fall under the NANPA's direct responsibility and management:

- NPA Codes;
- CO (NXX) Codes ;
- International Inbound NPA 456 NXX Codes ;
- Personal Communications Service (PCS)/N00 Codes (500) ;
- Easily Recognizable Code (ERC) 900 NXX Codes;
- N11 Service Codes (reporting only);
- Hearing Impairment Codes 800 855-XXXX line numbers;
- Information Services Codes 555-XXXX line numbers;
- Carrier Identification Codes (CICs);
- Vertical Service Codes (VSCs);
- Automatic Number Identification Information Integers (ANI II) Digits;
- Non-Dialable Toll Points (NPAs 886 and 889); and
- Additional numbering resources, as may be defined.

The sections that follow describe each resource, and summarize the NANPA's responsibilities. The NANPA is also required to report the status of each resource.

3.1 Numbering Plan Areas (NPAs)

NPA refers to an area code that is the first three digits of a telephone number.

NPAs are classified as either geographic or non-geographic:

- Geographic NPAs are NPAs that correspond to discrete geographic areas within the NANP area.

- Non-geographic NPAs are NPAs that do not correspond to discrete geographic areas, but which are instead assigned for services with attributes, functions, or requirements that transcend specific geographic boundaries.

States within the United States have been delegated area code relief authority and may have unique directives and legal requirements associated with approval and implementation of any NPA relief activity.

The NANPA is responsible for assigning NPAs when the criteria for such an assignment have been met.

The NANPA shall ensure that an NPA assignment conforms to regulatory directives and NPA relief plans (from the FCC and state commissions) and industry guidelines (*e.g.*, from the INC).

3.2 Central Office (CO) Codes

The three digits after the NPA are referred to as the CO Code. The NANPA shall monitor the actual and forecasted assignment of CO Codes through the Months-to-Exhaust (MTE) form filed with each CO Code application.

In addition, forecast and utilization data are submitted to the NANPA by reporting service providers in the NRUF Report. This information is used to plan for the assignment of new NPA codes when existing NPA codes near exhaust (*i.e.*, additional telephone numbers are required to serve projected demand). The NANP Administration function also includes consultation with affected service providers and state commission when the depletion of central office codes necessitates relief.

3.3 International Inbound NPA-456 NXX Codes

The 456 NPA and its associated NXXs enable the routing of inbound international calls for carrier specific services, particular to that service provider's network. The NANPA shall assign the NXXs within this NPA.

The procedures and guidelines are described in International Inbound NPA (INT/NPA/NXX) Assignment Guidelines (INC 94-0826-003).

3.4 Personal Communications Service (PCS)/N00 (NPA 500) NXX Codes

PCS NPA 500 is a non-geographic numbering resource that offers the user a set of capabilities that allows some combination of personal mobility, terminal mobility, and service profile management. A PCS 500-NXX-XXXX number enables each PCS service user to participate in a user-defined set of subscribed services, and to initiate and/or receive calls on the basis of some combination of a personal number, terminal number, and a service profile across multiple networks at any terminal, fixed or mobile, irrespective of geographic

location. Service is limited only by terminal and network capabilities and restrictions imposed by the personal communications service provider.

The NANPA shall manage, assign and administer NXX codes in NPA 500 pursuant to regulatory directives and INC assignment guidelines.

The NANPA shall reclaim 500 NXX codes assigned to entities that fail to meet the terms specified in the assignment guidelines and /or by directives from the appropriate regulatory authorities.

3.5 Easily Recognizable Code (ERC) Code 900 NXX Codes

The 900 NPA is an ERC used for information services in which the caller pays for call setup and the specific services associated with the 900 call. The 900 NXX codes shall be assigned and used only for pay-per-call information services. The codes, referred to as “Pay-Per-Calls,” may be accessed by the public over the PSTN using the dialing format 900-NXX-XXXX.

The NANPA shall reclaim 900 NXX codes assigned to entities that fail to meet the terms specified in the assignment guidelines and/or by directives from the appropriate regulatory authorities.

3.6 N11 Service Codes

Codes in the N11 format (*e.g.*, 911) are referred to as Service Codes. There are eight N11 service codes available in the NANP. The FCC determines the uses of N11 codes, which have been assigned as follows:

211	Community Information and Referral Services
311	Non-emergency Police and Other Governmental Services
511	Traffic and Transportation Information
711	Telecommunications Relay Service (TRS)
911	Emergency

The 411, 611, and 811 codes have not been assigned by the FCC. Carriers, however, use the 411, 611, and 811 codes for access to their directory assistance, repair services, and business offices, respectively. Unassigned codes may also be assigned locally with the understanding that a local assignment shall be discontinued, on short notice, if the unassigned codes are requested for nationally assigned purposes. Some U.S. states have permitted local use of certain N11 codes, pending FCC designated assignments.

In Canada, the assignment of the N11 codes is generally consistent with the table above, except for code 311 which has not been assigned and 511 which has been conditionally reserved for TRS. However, an application is before the Canadian Radio Television & Telecommunications Commission (CRTC) to use 511 for Traffic and Transportation Information.

Other NANP member countries may in the future designate specific uses for N11 codes within their jurisdictions.

3.7 Hearing Impairment Codes-800 855 XXXX Line Numbers

Line numbers from the 800 855-XXXX are used for assisting persons with hearing impairments. These numbers are assigned individually at the line level. The NANPA shall administer line numbers within the 800-855-XXXX resource with respect to services for persons with hearing impairments. Other NANP member countries may designate specific uses for 800-855-XXXX line numbers in the future.

3.8 Information Services Codes-555 XXXX Line Numbers

The 555 NXX code appears (referred to as “555 numbers” in the form NPA-555-XXXX) in all geographic NPAs for access to information services. The guidelines permit a subscriber to dial a 555-XXXX number in any NPA in North America using either a 7-digit or a 10-digit format.

Line numbers from the 555 NPA are assigned either on a national or non-national basis. National assignment means that the number is assigned exclusively to a single entity to be used in at least 30% of the available NPAs or states or provinces in the NANP serving area. Non-national assignment means that the number is assigned to an entity for use in a specific geographic area or areas (NPAs, states, or provinces) to be used in fewer than 30% of the available NPAs or states or provinces in the NANP serving area. “Non-national” numbers are available for assignment to multiple entities, allowing those entities to use the “non-national” number in different geographic areas.

The NANPA shall reclaim 555 NXX codes assigned to entities that fail to meet the terms specified in the assignment guidelines and /or by directives from the appropriate regulatory authorities.

3.9 Carrier Identification Codes (CICs)

Currently a CIC is a four-digit number, which is used to uniquely identify an access customer who has purchased special access such as Feature Group B and/or Feature Group D access services. The code is primarily used for routing from a local network to the access purchaser and for billing between the local network and the access purchaser.

The NANPA shall manage and assign CICs. The NANPA shall reclaim CIC codes assigned to entities that fail to meet the terms specified in the assignment guidelines and/or by directives from the appropriate regulatory authorities. Reclamation occurs most often because the entity to which the CIC has been assigned does not obtain access within the six-month period specified in the assignment guidelines.

3.10 Vertical Service Codes (VSC)

VSC are standardized codes dialed by customers to access network features and services (*e.g.*, call forwarding) provided by network service providers. These codes appear in the *XX or *2XX format. The NANPA shall assign, manage, and approve new VSC assignment requests.

3.11 Automatic Number Identification (ANI) II Digits

ANI II digits are two digits that are sent with the originating telephone number identifying the type of originating station (*e.g.*, Plain Old Telephone Service (POTS), hotel/motel). The NANPA shall assign the digits and track the assignments.

ANI II digits are assigned by the NANPA at the request of the INC. The assignment of an ANI II digit does not imply its ubiquitous availability.

3.12 Non-Dialable Toll Points (Numbering Plan Areas 886 and 889)

Non-Dialable Toll Points are central office codes assigned to individual stations, which typically are in extremely remote areas where standard telephone service is not available. Assignment of codes for non-dialable toll points is limited to the 886 and 889 NPA's. Beyond this constraint, however, there exist no formal guidelines for the assignment of these codes, and the NANPA is not currently involved in these assignments. Historically, assignments were made by various service providers and/or the local code administrators. Non-dialable toll points are being systematically eliminated. Existing and new non-dialable toll point assignments must be posted on the NANPA web site and updated upon any new assignment within five business days of the assignment. However, the NANPA may be called upon to identify any remaining assignments if necessary to eliminate them when transition to an alternative method of call completion/rating to these locations is deployed.

Assignments for Non-Dialable Toll Points are currently maintained in the LERG by Telcordia.

Section 4

Central Office Code Administration

4.1 Requirements

The NANPA shall manage the CO Code resource in accordance with federal regulatory requirements and the latest version of the published *Central Office Code (NXX) Assignment Guidelines* (INC 95-0407-008).

The NANPA shall perform the CO Code administration that encompasses the following major functional categories:

- User² Services
- Processing
- Client and Internal Communication / Notification Functions
- Status Reporting
- Tracking CO Code Utilization for NPA relief
- Managing jeopardy conditions

The NANPA, in order to perform CO Code Administration functions, shall maintain considerable knowledge of local/regional environments including geography, demographics, growth patterns, local dialing plans, and eligibility requirements. This knowledge shall be applied to each CO Code assignment. Local conditions for each NPA shall be posted to the NANPA web site.

The NANPA shall create a Change Management Plan for adapting the CO Code assignment practices in accordance with updates and modifications to the CO Code (NXX) Assignment Guidelines and regulatory directives. When there are changes, the NANPA shall institute a training program to educate all CO Code Administration staff in order to ensure consistent application. Training shall be completed within five business days before the date the change to the guidelines becomes effective.

4.2 Functional Specifications

CO Code administration activities include the key functional requirements detailed below.

² User represents code applicants, code holders, regulatory agencies, and the general public.

4.2.1 User Services

The NANPA shall produce and make available information regarding CO Code Administration processes, guidelines, procedures, interfaces, and services.

Upon request, the NANPA shall provide information on how to obtain current documents related to CO Code Administration. The NANPA may refer users to web sites where information can be located and downloaded. These documents currently include:

- CO Code (NXX) Assignment Guidelines
- NPA Code Relief Planning Guidelines
- Industry Notification of NPA Relief Activity Guidelines
- NPA Allocation Plan and Assignment Guidelines
- Recommended Notification Procedures to Industry for Changes in Access Network Architectures

The NANPA shall provide assistance to all entities who use numbering resources and suggest alternatives, when possible, that may assist users with numbering resource optimization and utilization issues.

The NANPA shall maintain working knowledge of applicable state regulations and local dialing plans.

The NANPA shall assist Code Applicants with understanding and completing all forms and appendices associated with INC Guidelines.

The NANPA shall educate users. Such education may include, but is not limited to, providing job aides and providing necessary forms and instructions on the NANPA web site.

The NANPA shall notify its users and interested parties when industry guidelines or applicable regulatory directives have changed. The NANPA shall provide electronic notification of administrative process and procedural changes within five business days of the change being identified by the NANPA. Implementation of these changes shall include a transition period before the new process or procedure becomes effective.

The NANPA shall respond to inquiries regarding available and assigned CO Codes. Such response may consist of referring the user to a specific page on the NANPA web site.

4.2.2 Processing

The NANPA shall receive and verify applications for CO Codes in accordance with FCC directives and CO Code (NXX) Assignment Guidelines.

If a state commission has not yet chosen a relief method and established a relief date, the NANPA, as CO Code administrator, and the industry shall devise the jeopardy conservation or rationing measures, consistent with the industry guidelines.

As CO Code Administrator, the NANPA shall be aware of and adhere to any limits on code assignments as ordered by state commissions or agreed to by industry, as well as any other provisions of rationing plans such as prioritization of applications.

The NANPA shall apply CO Code optimization practices in accordance with FCC directives and the CO Code (NXX) Assignment Guidelines, as appropriate.

The NANPA shall also:

- Maintain a CO code conflict database and publish on the NANPA's web page CO codes by NPA that are "unavailable for assignment" due to dialing, routing and/or rating conflicts.
- Include in this list CO codes that are unavailable due to permissible services identified by the state tariff, CO codes that are used for testing, and CO codes that are used for unique call routing/rating arrangements.
- Consult, providing details of local/regional environments including, for example, geography, demographics, growth patterns, local dialing plans, and eligibility requirements.

4.2.3 Communication/Notification Functions

The NANPA shall post daily on its web site the NXXs assigned and the NXXs available in each NPA. This information shall be updated daily as changes occur. Other means of distributing reports shall be available as necessary.

The NANPA shall follow the CO Code (NXX) Assignment Guidelines for notification of CO Code assignments. The NANPA shall enter data directly into the BIRRDs database.

The NANPA shall have the capability to input rating and routing data into the BIRRDs database as an enterprise service to a code holder.

The NANPA shall issue notification of all CO Code jeopardy situations and other pertinent CO Code administration activities to the appropriate regulatory agencies and the affected industry members.

4.2.4 Status Reporting

For CO Code Administration, the NANPA shall monitor and report the status of NXXs in each NPA. These reports shall be generated and posted to the NANPA web site each business day.

4.2.5 Tracking CO Code Utilization for NPA Relief

The NANPA shall fulfill the process responsibilities in accordance with the NPA relief guidelines and regulatory directives, including the following:

- Determine when to initiate NPA Relief by continually monitoring CO Code growth and projecting exhaust.
- Upon the identification of a potential exhaust situation, notify appropriate regulatory authorities and affected parties within the NPA.
- If necessary, immediately organize a relief-planning meeting to obtain local industry consensus and subsequent regulatory direction for a relief implementation plan.

4.2.6 Management of Jeopardy Conditions

The NANPA shall:

- Declare a jeopardy NPA condition within any NPA that meets the conditions established in the appropriate industry guidelines and regulatory orders.
- Monitor CO Code growth and projected exhaust.
- Notify appropriate regulatory authorities and affected parties within the NPA.
- Notify the industry that jeopardy code rationing is available if so desired, or may be specified in a pending state commission order if the industry does not come to consensus on a rationing plan.
- Implement NPA-specific conservation measures as a part of CO Code application processing, if necessary, subject to local industry consensus or regulatory direction.

4.3 Management of the Code Inventory

The NANPA shall track and monitor MTE, forecast, and utilization reports so that it shall be able to forecast demand and anticipate the need for relief to avoid premature exhaust of each NPA and the NANP.

4.4 Resource Reclamation

In accordance with paragraph 237 of the FCC Report and Order and Further Notice of Proposed Rule Making, March 31, 2000 (FCC NRO Order), the NANPA shall reclaim numbering resources assigned to entities that fail to meet the terms specified in the assignment guidelines. The NANPA shall receive and process Part 4 confirmations from code holders during the six-month period following the published LERG effective date of the code. Receipt of a Part 4 from a code holder certifies that the code has been placed in service. The NANPA shall acknowledge its Part 4 receipt by issuing the code holder a Part 5

Administrator's Part 4 Receipt/Confirmation verifying the code holder's use. The NANPA shall maintain a tracking system for receipt of Part 4s and return notification of Part 5 Forms.

No further action is required of the code holder once a Part 4 has been submitted. Not later than one month prior to the end of the six-month period, the NANPA shall send a reminder notice to code holders that no Part 4 Form has been posted for the code now assigned to them. If requested, the NANPA shall submit lists of service providers who are delinquent in the return of the Part 4 forms to state regulators. If a code holder fails to submit a Part 4 within the time-frame specified by the FCC, the NANPA shall initiate the reclamation procedures, keeping accurate and complete records for each action taken. The NANPA shall obtain either state or FCC regulatory approval prior to initiating the reclamation process.

The NANPA shall maintain a current point of contact list for CO Code reclamation. Regulators and service providers are to be included on the list. In addition, a contact list for all other NANP members shall be maintained, if necessary.

The NANPA shall provide a confirmation in response to every CO Code application received.

Section 5

NPA Relief Planning

The NANPA shall perform the area code (NPA) relief functions specified in the INC NPA Code Relief Planning Guidelines. The NANPA shall be prepared to work with state regulatory authorities that may choose to assume any of these responsibilities, pursuant to FCC orders.

The NANPA, in order to effectively perform its NPA relief functions, shall maintain considerable knowledge of local/regional environments including geography, demographics, communities of interest, growth patterns, local dialing plans, and operating/certified service providers. The NANPA shall determine NPAs in need of relief and appropriately manage the relief efforts through the implementation of a new area code.

The NANPA shall notify all affected CO Code holders with regard to NPAs in need of relief, and any associated meeting information. In addition to notification, the NANPA shall forward the Initial Planning Documents (IPD) a minimum of four weeks before any scheduled NPA relief-planning meeting and the NANPA shall facilitate the meeting. The NANPA shall post to its web site all NPA relief meeting announcements and preliminary planning information.

Accordingly, the NANPA shall continue to update the local/regional information and contact information to meet the level of NPA relief expected in any given year during its Term of Administration.

5.1 Key Responsibilities

Key NANPA NPA relief responsibilities consist of the items noted below.

5.1.1 Relief Timing

The NANPA shall determine the need for and identify the timing of NPA Relief in accordance with CO Code (NXX) Assignment Guidelines and NPA Code Relief Planning Guidelines. One of the tools for performing this task utilizes NRUF Report data.

5.1.2 Relief Planning Communication

The NANPA shall promptly communicate with all affected industry members and appropriate state regulatory authorities to advise them of the need for relief planning to occur.

5.1.3 Initial Planning Document (IPD) Preparation and Distribution

The NANPA shall prepare and distribute to industry members and state regulatory authorities an IPD for each NPA projected to exhaust over the forecast period, as identified in the NRUF Report. The IPD shall describe and assess possible relief options and include detailed historical information regarding prior years' forecasts, versus the actual assignment of codes.

5.1.4 Relief Planning Meetings

The NANPA shall schedule initial NPA relief planning meeting(s) per the NPA Code Relief Planning & Notification Guidelines. This meeting shall be 36 months in advance of the projected NPA exhaust date to permit the timely planning and implementation of NPA relief.

5.1.5 Relief Planning Report

The NANPA shall provide a report to the NANC, once per quarter, on its success or failure in meeting this Performance Measurement.

5.1.6 Relief Planning Consensus Building

The NANPA shall notify interested industry and state regulatory authorities of NPA Relief Planning meeting(s) and conduct the meeting(s) with the objective of gaining consensus on a relief plan.

5.1.7 Neutral Facilitator Role

The NANPA shall act as neutral facilitator for all relief planning meeting(s) (i.e., issuing meeting announcements, coordinating meeting arrangements, setting an agenda, leading the meeting, issuing meeting minutes, and other duties necessary to conduct the meeting).

5.1.8 Proactive Role in Relief Planning

The NANPA shall ensure state regulatory authorities have appropriate information necessary to endorse industry-consensus relief plans or develop their own plan if they desire. The NANPA shall proactively work with the state regulatory authorities to achieve endorsement of a relief plan by the date established to allow the industry appropriate time for implementation.

5.1.9 Status Reporting on Relief Plans

The NANPA shall track and report on the status of pending relief plans to the FCC and the NANC each month.

5.1.10 Possible Testimony

The NANPA may be requested to provide testimony to the state regulatory authorities regarding the relief plan, as necessary. This service shall be treated as an enterprise service (see Section 11).

5.1.11 New NPA Code Assignment

The NANPA shall, prior to the NPA relief date, assign a new NPA code(s) in accordance with the approved relief plan.

5.1.12 Implementation Scheduling

The NANPA shall schedule the first implementation meeting once a form of relief has been selected and ordered by a state regulator.

5.1.13 Industry Scheduling

The NANPA shall provide industry notification of NPA code relief implementation activities (*e.g.*, adequate advance notice, public announcements, test number and testing period, new boundary maps, new dialing procedures, Line Information Database (LIDB), the BIRRDs database, LERG, LIDB Access Routing Guide (LARG), relief date, permissive dialing period, mandatory dialing date, ANI records). The NANPA shall also provide notifications of any subsequent changes made by state commissions to relief dates, permissive dialing periods, or mandatory dialing dates.

5.1.14 Press Release

The NANPA shall, with the input and approval of the state regulatory authorities and industry, prepare and issue a press release to inform the public of the approved Relief Plan and respond to requests from the media and public for information.

5.1.15 Implementation Assistance

The NANPA shall assist NPA Relief implementation teams and the Number Administration Service Center (NASC), as necessary, with modifications to the toll-free database.

If necessary, the NANPA shall declare a code in jeopardy based upon the INC definition of a jeopardy situation and implement an NXX code-rationing plan agreed to by the industry. If there is no industry consensus on an NXX code-rationing plan, the NANPA shall implement a state approved rationing plan after the state commission orders NPA relief. After a state regulatory authority orders a specific form of area code relief and has established an implementation date, the NANPA shall adopt and implement that plan as ordered by the state regulatory authority.

5.1.16 Compliance

The NANPA shall:

- Comply with CO Code (NXX) Assignment Guidelines, NPA Allocation Plan and Assignment Guidelines, and NPA Code Relief Planning Guidelines.
- Implement a planned approach using effective forecasting and management tools and skills in order to ensure the availability of numbering resources.
- Facilitate the timely planning and implementation of NPA relief.
- Proactively work with state regulatory authorities to achieve selection of a relief plan by the requested date to allow the industry appropriate time for implementation.

If a relief plan has not been approved by 90 days prior to industry requested approval date, then the NANPA shall notify the state commission in writing of the date the relief plan approval was requested – a copy of which shall be sent to the NANC Chair.

If the state regulatory authorities have not ordered an NPA relief plan on or before the industry requested approval date, the NANPA shall notify the FCC and the NANC in writing and provide the date by which an order is required to avoid jeopardizing the timely implementation of NPA relief.

5.2 User Notification

The NANPA shall maintain an electronic document distribution system, which NPA relief planners shall use to notify affected users of the need for an NPA relief meeting and to keep all users informed of final relief plans and implementation processes.

The document notification system shall also be used to distribute additional details and data deemed necessary to keep clients informed of the status of any relief activity that has experienced a delay in implementation.

Section 6

Utilization and Forecasting

The NRUF Report is filed twice annually by service providers in accordance with FCC orders and regulations. Each service provider shall complete the NRUF Report and submit it to the NANPA on or before February 1st and August 1st of each year.

The NANPA shall compile, examine, and analyze the data gathered from these reports and submit its analysis to the NANC, the FCC and state regulatory commissions that have requested it, semi-annually on the last business day of April and October of each year, unless otherwise directed by the FCC.

6.1 Responsibilities

The following is a list of the functional areas that fall within the NANPA's data collection, processing and NRUF reporting responsibilities:

6.1.1 Point of Contact

The NANPA shall be the point of contact for collecting forecast and utilization data. Forms shall be submitted electronically. The NANPA shall assist carriers in completing the NRUF forms by clarifying the service provider requirements to report and correctly understand the NRUF process.

6.1.2 Contact List Maintenance

The NANPA shall maintain a list of the individuals within each reporting entity identified on the last NRUF report submitted by that entity as the contact person. The NANPA shall periodically remind reporting entities in writing of the need to keep the list of contacts current and accurate.

6.1.3 Data Requests

The NANPA shall request the data from all NANP member nations. Such data shall be requested for submission on February 1st and August 1st of each year. All NRUF data shall be aggregated from within the same timeframe. Data from U.S. service providers shall be processed separately, and then aggregated with all other reported data to obtain a complete picture of the status of the NANP.

6.1.4 Data Requests in Pooled Areas

In pooled rate centers within an NPA, the NANPA shall receive forecast data in thousands-block increments. The PA provides data regarding unassigned blocks in the pool for the NANPA to analyze.

6.1.5 Data Analysis

The NANPA shall compile, examine and analyze all the data obtained from the semi-annual NRUF Report. The results of this analysis shall be made available by the NANPA on the last business day of April and October of each year.

The NANPA shall compare actual NPA exhaust and current exhaust forecasts with the past five exhaust projections. The NANPA shall summarize the accuracy of its forecast outlining (1) contributing factors, (2) changes required, (3) the outcome if no change is made, (4) the parties who shall participate in the changes, and (5) a description of the activity each party shall take to realize the desired outcome. The NANPA shall provide an analysis of the accuracy of its forecasting tool as an NPA reaches exhaust prior to the beginning of each forecast cycle.

6.1.6 Data Reporting

The NANPA shall produce a semi-annual report that summarizes the projections of exhaust of each NPA and the NANP as a whole. The report shall at a minimum, be similar in format and content to the *NANP and NPA Exhaust Analysis* report, currently provided to the NANC.

The NANPA shall highlight significant anomalies, for example, those NPAs whose projected exhaust date changes by more than six months from one report to another, and provide a brief explanation for the change.

6.1.7 User Support

The NANPA shall be available to its users to answer questions pertaining to any aspect of the NRUF Report process (*e.g.*, forms, instructions, analysis, data assumptions, etc.).

6.1.8 Data Aggregation

The NANPA shall also compile, examine, and analyze the forecast and utilization data submitted by reporting service providers between reporting periods. If it appears that the life of an NPA or the NANP shall be significantly affected by an updated NRUF Report submitted by a service provider(s), the NANPA shall report those results within 30 days of receiving the data submissions from the service provider(s).

In the event that NANP exhaust is affected by an updated NRUF submission, the NANPA shall send the results to the appropriate regulatory authority in NANP member countries and

the NANC. In cases that only involve NPA exhaust, the NANPA shall forward the results to the appropriate regulatory commission.

6.1.9 Request to Review Data

At the request of a U.S. state regulatory authority and upon receipt by the NANPA of a written statement that the state regulatory authority has confidentiality procedures in place to protect the data, the NANPA shall, within ten business days, provide a single report containing disaggregated data to any requesting state that is reported by service providers in that state, so long as the request is made 30 days after the deadline for NRUF reporting and before the subsequent NRUF reporting deadline.

The NANPA shall provide reports to state regulatory authorities per their initial request and delivery schedule. State regulatory authorities shall provide the NANPA with requested delivery schedule changes and report content changes at least 30 days prior to the effective date of the change. Requests of this nature shall be provided without an additional charge to the state commission.

6.1.10 Penalties for Non-Submission

If an NRUF Report has not been submitted by a service provider, the NANPA shall withhold future numbering requests from that service provider within the NPA for which the NRUF data has not been supplied. Once the NRUF data has been submitted, the NANPA shall process the request.

6.1.11 Report Anomalies

If the NANPA identifies any significant inconsistencies or anomalies in a service provider's data, the NANPA shall inform the submitting service provider of its findings, provide the specific data relevant to document the significant inconsistency or anomaly in the service provider report, and request a review and confirmation (written or oral) from the service provider.

The NANPA shall allow the service provider five business days to provide that confirmation, or to resubmit the data. If, after the discussions with the provider, the NANPA still believes that the provider's data contains inconsistencies or anomalies, then the NANPA shall report its findings to the appropriate regulatory bodies (*e.g.*, state commissions, the FCC).³

The NANPA shall assign no additional numbering resources to such service providers until the appropriate state commission instructs it to do so. Where the state commission has

³ U.S. telecommunications providers only.

chosen not to exercise this delegated authority, the NANPA shall seek instruction from the FCC.

6.2 Development of Tests for Anomalies and Inconsistencies

The NANPA shall examine the NRUF report submitted by each service provider for inconsistencies or anomalies. The NANPA shall design the tests and algorithms that it shall use to test the utilization and forecast data submitted by service providers prior to actually performing any tests. The NANPA shall provide a detailed description of the actual methodology employed to identify inconsistencies and anomalies. The description shall include a list of all assumptions and rationales incorporated into the methodology tests, as well as any mathematical formulas that are used.

The NANPA shall also work with the NANC to form criteria for determining what types of submissions shall be deemed inconsistent or anomalous. It is expected that the NANPA shall continually refine this process and remain mindful of the changing telecommunications landscape to ensure that its methods and assumptions are current and valid.

6.3 NANPA Analysis of Data

The NANPA shall accumulate and analyze forecast and utilization data from each service provider and the PA according to the schedule detailed in the First FCC NRO Order. The NANPA shall use this information along with historical and other data possessed by the NANPA to create a forecast that is as accurate as possible.

6.3.1 Methodology for Projecting NPA Exhaust

The NANPA shall project the potential exhaust of NPA codes. Although the NRUF data shall be the primary source of information for any analysis, the NANPA shall incorporate other relevant data elements into its analysis in determining the projected exhaust time frame of each geographic NPA.

Some of the additional data elements are noted below.

6.3.1.1 NRUF Survey Responses

Once the tests for inconsistencies and anomalies have been performed and the responses deemed acceptable by the NANPA, these responses shall be the primary input to any analysis of NANP and NPA exhaust.

6.3.1.2 Historical CO Code Assignment Data

The historical CO Code data includes NXX code assignments over at least the two years immediately preceding the date of the NRUF for all industry segments, *e.g.*, Incumbent

Local Exchange Carrier (ILEC), Competitive Local Exchange Carrier (CLEC), two-way Commercial Mobile Radio Service (CMRS) Carrier, and Paging Carrier.

6.3.1.3 CO Code Rationing

After jeopardy has been declared, the rationed amount shall have a significant and direct effect on the life of the NPA, regardless of forecasted demand. In such cases, all other elements may be rendered irrelevant.

6.3.1.4 CO Code Assignments as of the Data Collection Date

A single recent event can affect the life span of an NPA, and thus CO code assignments as of the data collection date should be factored into the exhaust projections.

6.3.1.5 Total Number of Codes Available for Assignment

If relief has been applied since the last reporting period, the environment will have changed and the analysis must reflect the change.

6.3.1.6 Rate Centers Per NPA

The effects of any rate center consolidation or split within an NPA may have a significant impact on CO Code demand.

6.3.1.7 Expanded Local Calling Areas

The inclusion of additional carriers in expanded local calling areas may also have an impact on CO Code demand.

6.3.1.8 Pooling

The impact of thousands-block number pooling on CO Code demand, where it has been implemented, must also be taken into account.

6.3.2 Minimum Analysis Requirements

Prior to performing the analysis, the NANPA shall provide to the NANC a detailed description of the actual methodology employed. The description shall include a list of all assumptions and rationales incorporated into the methodology, as well as any mathematical formulas that are used.

The NANC shall have the opportunity to provide advice and consent to the analysis methods and assumptions the NANPA uses to perform its analysis of the NRUF results. Continuous methodology refinement is expected and encouraged. At a minimum, the analysis shall begin with a determination of the quantity of available NXXs within each NPA.

Using the aggregated service provider forecasts and the tests developed by the NANPA to identify inconsistencies and anomalies, the NANPA shall determine the quarterly NXX demand for each NPA. The actual adjustments applied shall be consistent with, and fully explained in, the NANPA's description of assumptions and rationales.

6.3.3 Anomalies and Trends

The NANPA shall identify anomalies and trends in numbering usage for all NANP resources. The NANPA shall assist users in assessing the results shown and the action required to achieve numbering optimization goals. On an annual basis, the NANPA shall provide a report to the FCC reporting any anomalies and trends affecting the NANP.

6.4 Number Resource Utilization Form (NRUF) Submissions

The FCC requires U.S. service providers to submit NRUF data electronically.

The NANPA shall support three alternative methods for NRUF submission data collection: electronic file transfer (EFT), spreadsheet attachment to e-mail, and online entry.

Section 7

Automated System Support

This section describes key requirements of the NANP Administration System and its capabilities.

The system shall provide NANPA employees and clients access to all necessary information required for NANP numbering resource management.

The NANPA shall maintain a NANP Administration System that is capable of supporting the requirements and functionality acknowledged within this document. In addition, the system shall be sized accordingly to support current and future resources and users.

This system shall include security measures for maintaining confidential data and provide accessibility for all users to their own information through an appropriately secured mechanism. In addition, a user class shall be maintained that allows specific users (*e.g.*, state regulatory authorities) to access selected, appropriate geographic data submitted by other users.

7.1 System Characteristics

The NANP Administration System shall utilize standard electronic commerce type functionality that allows efficient user interaction and data file transfer.

Data file transfer shall be simple and easy to understand.

7.1.1 System Availability

The NANP Administration System shall be available within six months of contract award. The NANP Administration System shall be seamlessly available for input, processing, and downloads during users' normal business hours.

Scheduled maintenance shall occur outside of normal business hours and users shall be notified no less than 30 days in advance of any scheduled event.

7.1.2 System Query Capability

For the purpose of this document, a query is defined as the ability to request and retrieve data stored in the system.

The system shall:

- Support users' needs to retrieve their data through a query capability.

- Support a user authorization level that identifies the range and scope of the data access of each user, including identification notice of approved access to their data by other users.
- Be capable of querying and retrieving one or multiple records using any stored data fields.

7.1.3 System Scalability

The NANP Administration System shall be expandable and flexible so that it can easily expand its capacity and number of users.

Examples include:

- Addition of new NPAs
- Additional users
- The addition of new resource, and data elements
- Expansion of the NANP

7.2 System Capabilities

The NANP Administration System shall be designed for high reliability, possess data integrity features, and allow for economical and efficient system expansion.

The NANP Administration System design shall provide for the following capabilities:

- Capture all relevant applicant and user information.
- Facilitate the application and data filing process and the capture of required data in the database.
- Provide for generation of user information notices.
- Possess the ability to track status of all NANP resources.
- Support ad hoc query capabilities as well as production of predefined reports.
- Assist with NANP Administration document management.
- Possess the ability to track the status of a user's NANP resource application or data filing and the generation of reports regarding the tracking status of each application or data filing.
- Maintain data integrity.

If the system becomes unavailable for normal operations due to any reason, users shall be notified of the system unavailability within five minutes of any outage.

When possible, such notification shall be made via electronic capabilities. When this is not possible the NANPA shall notify all users via identified contact information by prearranged method (*e.g.* fax, telephone).

When the system is restored to normal operations, users shall be notified of the system's availability via electronic broadcast message within five minutes of system restoration.

7.3 System Location

The physical location of the NANP Administration System facility is at the discretion of the NANPA. The only limitation is that the facility shall be within the continental United States. Identification of the proposed system location must be included in the Bidder's proposal.

7.3.1 Facility Characteristics

Space allocated for the NANP Administration System shall have the following characteristics:

- Be a distinguishable area with secure access points.
- Be contiguous space where personnel are physically located within the same area.
- Provide sufficient backup power to maintain operation through electrical outages for at least eight hours.

7.4 System Data

NANP numbering resource data and information shall be stored in the NANP Administration System in accordance with the categories and formats that correspond to those currently used and/or as may be defined in the future by regulatory directives and industry guidelines.

7.4.1 Data Integrity

The NANPA shall ensure that all data stored is accurate and take commercially reasonable steps to confirm that data processed is accurate.

7.4.2 Confidential Treatment

All individual user-specific data submitted to the NANPA, in any form, shall be treated as confidential.

Any data that contains proprietary user information shall not be accessible by the public on the NANPA web site, or published by the NANPA. The NANPA shall only publish and distribute aggregated data.

7.4.3 Automated Submittal

The NANPA shall use the data interface protocols previously adopted and in use between service providers and the current NANPA vendor.

Except as noted, the NANP Administration System shall offer a web interface and/or allow for automated data input via EFT for applications and data forecast reports, as well as support an e-mail attachment transfer capability.

The EFT capability shall permit users to forward data in a predetermined format, which the NANPA shall then use to initiate processing within the NANP Administration System(s).

7.4.4 Automated Data Output Capabilities

The NANPA shall also accommodate automated data output via EFT when transmitting responses and other industry forms/data or reports to users per the appropriate industry guidelines.

7.4.5 Alternative Data Capabilities

The NANPA shall also support fax and e-mail submissions of user documentation (*e.g.*, applications, forms, forecast reports).

7.5 System Maintenance

The details of a proposed system maintenance schedule shall be provided in the NANPA's System Maintenance Plan.

7.6 System Security

The NANPA shall maintain and enforce system safety and physical security procedures in accordance with the *FCC Computer Security Program* (Reference 25).

The NANPA shall maintain confidential and proprietary information and institute any physical and safety procedures required.

Following contract award, the NANPA shall prepare a NANPA Security Plan following, as appropriate, the National Institute of Standards and Technology (NIST) *Guide for Developing Security Plans for Information Technology Systems* (Reference 30).

7.7 System User Profile Application

The NANPA shall develop and maintain a User Profile application process for the NANP Administration System to ensure that there is a mechanism to distinguish one system user from another. The NANPA shall maintain the capability to reach all service providers by maintaining automated and up-to-date lists of addresses corresponding to all contacts. The

NANPA shall update the list of contacts quarterly. The contact list shall be automated, facilitating mailing via U.S. Mail or electronically via e-mail.

The User Profile application shall contain at a minimum the contact information for each client, and other relevant identifying factors such as service provider operating company number (OCN) and Federal Registration Number (FRN). The NANPA is not responsible for assigning the OCN.

7.7.1 User Logon System

The system shall be able to support access to the NANP Administration System data with a unique logon ID and password upon receipt and approval by the NANPA of a request form.

7.7.2 Logon System Access

Access is initiated upon receipt by the NANPA of a completed logon ID request form having the proper signature approvals from the requesting organization.

7.7.3 Logon System Approval

After access approval, the NANPA shall assign the unique logon ID and appropriate security level corresponding to the type of user requesting access.

7.7.4 Logon System Security Level

The user's security clearance sets the correct level of record access and system capabilities.

7.7.5 Logon System Password

After the logon is initialized and entered into the system by the NANPA, the users shall be informed of the logon activation, and a completed logon ID request form shall be sent back to the requestor for its records.

7.7.6 Logon System Problems

Users experiencing problems in obtaining a logon ID shall contact the NANPA for resolution.

The NANPA shall resolve all logon problems within one business day.

7.7.7 User Access Permission Classes

The NANP Administration System is responsible for assigning new users the appropriate security permission class. The NANPA shall control access to all records.

7.7.8 Password Changes

All user passwords shall be changed every 180 days. If an individual ends employment with the user, the NANPA shall be immediately notified and a new password assigned.

7.7.9 Unauthorized Client User System Access

In the event the NANPA becomes aware of an unauthorized access to the NANP Administration System or user data, the NANPA shall immediately:

- Notify the FCC, and the applicable user(s) electronically.
- Report to the NANC that a breach has occurred and that the affected party has been notified.
- Subject to reasonable access, security, and confidentiality requirements, provide the FCC, affected users, and their respective designees with reasonable access to all resources and information in the NANPA's possession as may be necessary to investigate the unauthorized access.

The FCC, or its designee, shall have the right to conduct and control any investigation relating to the unauthorized access as it determines is appropriate.

7.8 System Inspection

Subject to the NANPA's reasonable access, security, and confidentiality requirements, a NANP member country or a designee, upon notice to the NANPA, shall have the right to make visits to the NANP Administration System facilities to review safety/security applications.

However, the NANPA is not required to support more than four visits in any 12-month period (excluding any follow-up visits referred to in the following sentence).

If any of the safety and physical security procedures as stated in the selected vendor's proposal are not implemented and maintained throughout its Term of Administration, the vendor shall be deemed noncompliant. Failure to correct such noncompliance within ten days shall subject the vendor to termination.

The NANPA shall:

- Implement corrective measures.
- Give notice of such implementation in preparation for one or more follow-up visits to the affected facility, as necessary, to confirm that the deficiency has been rectified.

7.9 System Report Administration

The NANP Administration System shall be capable of generating and distributing reports upon request. All reports shall be available and accessible electronically on the NANPA web site.

7.9.1 Report Distribution

Reports generated by the NANP Administration System shall be capable of being distributed and updated automatically. The report distribution system shall support an exploder list for automatic sign-up for updated report notification.

The NANPA shall distribute via the NANPA web site all summaries and comprehensive reports made known to the NANPA or produced by the NANPA or its affiliate contractor(s) performing NANPA duties in part or whole.

Reports shall be distributed by paper (including via U.S. Mail) and facsimile when requested. The Bidder shall describe its report distribution mechanism in its response.

7.10 Help Desk

The NANPA shall maintain a help desk that is accessible during the NANPA's regularly scheduled business hours.

The Help Desk shall be available to assist users with the input and the interpretation of system-generated reports.

The NANPA shall:

- Report problems with the web site, facsimile, voice mail or e-mail; for each problem the Help Desk will open a trouble ticket.
- Receive and transmit trouble tickets concerning communications problems with other vendors.
- Require that each trouble ticket be time stamped with minute accuracy and stored for recall for up to two years.
- Require that once a trouble ticket is closed, the originator of the trouble ticket shall be notified of disposition of the problem.
- Summarize the quantity and type of trouble tickets opened and closed during the year in the annual report.
- Require the help desk to assist customers to fill out applications or reports or to gain access to other authorized FCC or industry information.

- Require that if out-of-service conditions exists, the time stamped on the trouble ticket shall be used as the time for the start of the out-of-service period; when the out-of-service condition has been cleared and the originator of the trouble ticket notified, the time stamped on the last update of the trouble ticket shall be used as the end of the out-of-service period.

7.10.1 Contact

The telephone number for the Help Desk shall be posted on the NANPA web site along with other relevant contact information to help users.

The NANPA shall provide mechanisms; *e.g.*, web, voicemail, e-mail, and facsimile, to be accessible on a 24-hour basis.

With e-mail, the NANPA shall have the capability of transmitting and receiving e-mail messages with and without attached files. The NANPA shall provide “firewall” protective screening of all incoming e-mail messages and attachments based on a security profile established by the NANPA and approved by the FCC. The NANPA shall additionally provide virus protection software on all devices that receive e-mail. The NANPA shall maintain the most recently updated version of virus software as defined by the software provider.

With facsimile, the NANPA shall provide the capability of transmitting and receiving ITU G.3 and G.4 facsimiles.

7.10.2 Help Desk Referrals

Response to user inquiries for assistance shall include, where appropriate, referral to a NANPA Subject Matter Expert.

7.10.3 Help Desk Actions

Any frequently asked questions (FAQs) and their answers shall be added to the FAQ page on the web site on at least a monthly basis.

Responses shall be provided within one business day of the request being sent to the NANPA.

7.11 System Generated Notifications

The NANP Administration System shall support an exploder list that subscribers can apply to, and receive system generated notifications. Such an exploder list may be used to send a general notice to all users.

7.11.1 Customized Notifications

The NANP Administration System shall allow users to customize notices by geographical location (*e.g.*, NPA relief planning by NPA or state) and/or resource type that allows users to select categories of notices they want to receive.

The following subjects shall warrant customized notification support:

- Instructions for users to subscribe to lists on www.NANPA.com.
- Topic and geography specific notifications.
- NPA relief planning, guideline changes, regulatory directives, NANPA process changes.
- NPA exhaust notification and relief planning.
- General broadcast of system availability.
- User education opportunities.
- New items on the web site.
- New personnel announcements.
- International activities impacting the NANP.
- Data related to the status of resources associated with state conservation deliberation.

7.12 System Testing

Prior to any new system functionality and feature implementation and turn up, the NANPA shall provide a System Test Plan to the FCC. This plan shall contain the selection criteria for users to participate in system testing and the timeline and specific NANP Administration System elements to be tested. The System Test Plan shall follow the format, where applicable, of Reference 26, *IEEE Standard for Software Test Documentation*.

7.12.1 System Test Results

Upon completion of the NANP Administration System test, the NANPA shall publish the results of said test. These results shall be readily available to all interested parties.

7.13 System Disaster Recovery

A disaster recovery process shall be developed to restore the NANP Administration System within two business days.

The NANPA shall develop and implement a detailed Disaster/Continuity of Operations Plan, following the format, where applicable, of Reference 27, *NFPA 1600 Standard on Disaster/Emergency Management and Business Continuity Programs*.

In the event of a disaster, the NANPA shall cover all costs associated with rebuilding or recovering the applications systems, records, and related information that existed prior to the disaster.

7.14 System Backup

The NANPA shall initiate and maintain a backup process that ensures that the data contained in the system can be restored as needed. System backup information shall be generated, at least daily, and stored in a secure off site location that can be accessed within one business day if backup data is necessary for system restoration. Files shall be retained online for two years and archived for five years.

7.15 System and Equipment Inventory

Inventory data (hardware model, serial numbers and descriptions) on equipment shall be reported as part of the NANPA's annual reporting requirements, as well as any upgrades or replacements, including the license numbers of any Commercial Off-the-Shelf (COTS) software.

7.16 System Documentation Plan

The NANPA shall provide the FCC designated Contract Administrator with copies of the:

- System Design documentation describing the system's structure, modules, and interactions.
- System Operations documentation describing how to load, operate, and maintain the system.
- System User documentation describing the system and its features from the end user perspective.

This documentation should be consistent with Reference 32, *IEEE Recommended Practice for Software Design Descriptions*, Reference 33, MIL-STD-498, *Computer Operation Manual (COM)-Data Item Description (DID)*, and Reference 29, *IEEE Standard for Software User Documentation*, respectively.

7.17 NANP Administration System Transfer to Successor

The NANPA shall transfer to a successor in the case of termination or at the expiration of the Term of Administration, designated hardware and software property developed with funding from this contract, including:

- NANP Administration System and its software
- Designated hardware
- Computers and related equipment
- Other peripheral devices
- Records, both current and historical

The NANPA shall provide the FCC with a list of items that are subject to transfer at the end of its term. The list shall be filed at the time of the new or modified systems acceptance. Thereafter, the NANPA shall update the list annually, and provide such list to the FCC.

7.17.1 Transfer Efficacy

Transfer of such physical property shall be performed in such a manner as to ensure an efficient and orderly transition of the NANP Administration System and associated equipment to a successor's environment in a fully operational state without service interruption to any client.

7.17.2 System Software Source Code Escrow

The FCC shall be the custodian of a copy of the source code.

7.17.3 System and Equipment Transfer

System equipment shall transfer with lien-free title to the FCC or the FCC's designee, without charge.

7.18 Tools

The NANP Administration System shall maintain the applications and tools necessary for users to access and use the system to perform the applicable tasks and functions.

7.18.1 Exhaust Forecasting

Exhaust forecasting currently uses the NRUF tool. Other tools and data may be needed and used to successfully forecast NPA and NANP exhaust.

The NANP Administration System shall validate data submissions for users, process them, and then prepare and present an accurate NPA and NANP exhaust forecast report.

The NANPA exhaust report shall be published biannually and as warranted when information materially affecting the life of an NPA and/or the NANP becomes known to the NANPA.

The NANPA shall maintain NRUF interface specifications and post them to the NANPA web site.

The NANPA and the system shall be able to:

- Produce timely forecasts that are reasonably accurate, currently at least 36 months in advance of exhaust as indicated in INC guidelines.
- Retain the models used, the forecast and actual exhaust date for each NPA, and a comparison showing the accuracy of each model and forecast over the past five years.
- Produce the NPA Exhaust Report when new data materially affecting NPA exhaust becomes available (*e.g.*, within 30 days of NRUF deadline).
- Post all forms and job aids related to NPA Exhaust Forecasting and NANP Exhaust Forecasting for users on the NANPA web site.
- Prepare and present monthly NPA relief tracking report to NANC during the NANPA's NANC report.
- Maintain historical NRUF data by individual service provider so that it shall be accessible by that service provider for the previous five years.
- Post exhaust forecasts and actual exhaust dates (without rationing) on the NANPA web site.
- Maintain the forecasting system so that it shall be capable of accessing the five prior years of NRUF data forecasts and the corresponding actual consumption by service provider and rate area.

7.18.1.1 Application Processing

The NANP Administration Systems and tools shall provide real time access to resource usage and status data.

The NANP Administration System shall support standard electronic filing capabilities, as well as on-line application processing capabilities via the NANPA web site.

7.18.2 CO Codes

Resource application submission shall be available via e-mail, on-line with the NANPA web site, and by FTP.

The NANP Administration System shall process applications by performing application data validation, resource eligibility verification, and receipt of request and acceptance/rejection notification to service providers.

The NANPA shall:

- Complete administrative forms online to avoid the need to send faxes and/or e-mail attachments. Web based tools shall be provided for use in performing code activities, including Code Requests (Part 1), In Service Notification (Part 4), and submission of MTE information.
- Provide service providers with a web-based application that confirms Part 1 data field input accuracy and consistency using drop down menus for all appropriate fields, *e.g.*, OCN, FRN, rate area, homing tandem, switch COMMON LANGUAGE® Location Identification (CLLI™).
- Display on its web site the status of each NXX block as (1) assigned, (2) available for assignment, (3) pending disconnect, (4) pending change, and (5) pending reclamation and/or suspended.
- Provide accurate assignments, avoid rating and/or routing conflicts, and conform to established dialing plans.
- Send a fax confirming receipt of CO Code applications to applicants who do not have electronic capabilities.

7.18.3 NPA Exhaust Relief Planning

The NANP Administration System shall broadly distribute all meeting notices and IPD via an electronic Document Distribution System (DDS), providing sufficient advance notice of forecasted exhaust and corresponding anticipated relief meetings.

The NANPA shall facilitate and assist regulators in understanding and approving the final industry recommendation for relief, and advise the industry, the NANC, and the FCC on its progress and the status of the approval of the NPA Relief Plan.

7.18.4 Federal and State Directives/Orders

The NANPA and/or a system application shall be capable of responding to a request by a regulator for assistance and/or advice on a numbering resource issue that may affect existing processes and procedures used today by users in managing NANP resources.

Upon completion, the analysis shall be posted on the NANPA web page when information becomes releasable so that interested parties can understand the impact of the selected issue resolution.

The NANPA and the system's applications shall be capable of:

- Documenting the impact upon users in terms of: (1) the resource assignment/change/disconnect application process, (2) the application approval criteria, (3) all application forms, and (4) reports given to NANPA and reports generated by NANPA for users.

- Documenting the impact upon: (1) forecast analysis, (2) the timeliness of NPA Relief, (3) the need for rationing, and (4) the availability of numbering resources.

7.18.5 Federal and State Code Conservation Data

The NANP Administration System's applications shall provide prompt data updates no later than the next business day after the information has been received. The NANPA web site shall be updated in the same timeframe.

The system shall produce timely and accurate documents displaying data and statistics for all numbering resources for viewing by designated users per confidentiality requirements and data access arrangements specified by appropriate NANP member regulatory authorities.

Users shall be able to check the status of resources in real-time and "look-up" specific conditions and administrative practices required by local jurisdictions, including dialing and geographic characteristics impacting the assignment and use of numbering resources.

The NANPA shall prepare summaries that describe local conditions and geographic characteristics that vary from national guidelines. The system shall also maintain existing NANP administrative duties, and user application processes. The system's application shall be capable of assembling this information so that it is readily available for user access.

7.18.6 CIC Access and Usage Report Processing

CIC holders shall provide a usage report to the NANPA per the industry CIC guidelines.

With respect to CICs subject to reclamation as a result of the NANPA's usages analysis, The NANPA shall first contact the user to verify that the CIC should be reclaimed. The NANPA shall, in accordance with industry guidelines, notify the NANC and the INC of CICs subject to reclamation and simultaneously post this information to the NANPA web site.

The NANP Administration System shall be capable of accepting CIC usage reports per guideline requirements on January 31 for the period ending December 31 and no later than July 31 for the period ending June 30. These reports shall also be mailed and accepted by the NANPA in paper form.

The CIC holder interface specifications and programs and processing used by the NANPA when determining reclamation and recording and storing the status of CIC codes shall be posted on the NANPA web site. Any new specifications and reporting requirements shall be reviewed by the NANC prior to any change.

7.18.7 Contact Information

The NANP Administration System's applications shall record any contact information provided by resource or subject category. The record shall contain the name, address, telephone number, company name, title and area of responsibility (i.e., code administrator,

regulatory liaison for a state or the FCC), and the date the record was verified, entered or updated.

The NANP Administration System and its applications shall be capable of report generation using any of the entered fields for users and the NANPA. Such requests shall be accessible through the NANPA's web site.

Users shall use the data to facilitate contact and correspondence among the NANPA, users, the NANC, and industry fora and standards bodies.

7.19 Web Site

The NANPA shall provide and maintain an Internet web site.

7.19.1 Web Site Content

The NANPA web site shall contain nonproprietary data on all NANP resources administered by the NANPA. It shall also contain links to the industry guidelines, industry committees and relevant regulatory agencies, and other information to assist users in obtaining NANP numbering resources and the public with understanding NANP resources. It shall also contain numbers and outcomes of disputes, system availability (e.g., unscheduled down time), breaches of security, and statistics concerning comments and complaints regarding the web site.

Table 7-1. Content on the NANPA Web Site

Category	Content
1. NANPA Information	NANPA general information All relevant contact names, updated as necessary Telephone numbers Facsimile numbers E-mail addresses
2. NPA Information	Assigned, reserved for possible geographic relief (Specific areas not indicated) Other non-available NPA codes NPAs assigned by state or region Locations served by NPA Dialing plans per NPA Relief plan, planning and implementation meetings, and implementation status

Category	Content
3. NPA NXX Code Information	NPA-NXX assigned, the carrier to which the NXX is assigned, effective date NPA-NXX test numbers Unavailable NXXs Summary of assigned and available NXXs per NPA During NPA relief activities: current data reflecting relief activity (<i>e.g.</i> , NXX code assignments in each NPA, key dates, etc.)
4. 900 NXX Information	List of assigned 900 NXX codes and the carrier to which the NXX is assigned
5. 500 NXX Information	List of assigned 500 NXX codes and the carrier to which the NXX is assigned
6. CIC Information	List of assigned CICs and the carrier to which the CIC is assigned and date assigned
7. Vertical Service Code Information	List of assigned VSCs and their respective purpose
8. 456 NXX Code Information	List of 456 NXX codes and the carrier to which the NXX is assigned
9. ANI II Digits Information	List of assigned ANI II digits and the stated purpose of the code
10. 555-XXXX Line Number Information	List of 555 line numbers and the carrier/service provider to which the 555-XXXX line number is assigned
11. N11 Service Code Information	List of assigned N11 Service Codes and a description of the service to which the N11 code is assigned
12. 800-855 Number Information	List of assigned 800-855 numbers and the carrier/service provider to which the 800-855 number is assigned
13. Description of and details on new numbering resources as may be identified and defined in the future	
14. INC Number Assignment Guidelines	
15. NANPA Information Letters relative to NPA Code Relief (<i>i.e.</i> , notification of assigned NPA and key dates associated with implementation)	
16. Other NANPA information as directed by the NANC or appropriate regulatory authorities	

Category	Content
17. NANPA Reports	List of NANPA Reports concerning numbering resources (does not include enterprise service reports) Annual report (downloadable in a machine-readable form using standard word processing and spreadsheet programs, as appropriate).
18. NANP member countries and any applicable information.	
19. Index of reference documentation also called the Binder of Decisional Principals	FCC related directives State directives under delegated authority Other NANP member nation directives

7.19.2 Content Posting

New information and documentation shall be posted to the NANPA web site within one business day of its release.

Information contained on the web site shall be updated within one business day of any change or document release.

7.19.3 Web Site Design

The NANPA web site (www.nanpa.com) shall be reliable and be able to quickly fulfill reasonable user expectations. The NANPA's web site shall be designed and maintained to ensure its accessibility according to the following principles:

- Maintain a NANP web site easily accessible by all users.
- Allow web site pages to be navigated by keyboard.
- Provide alternative methods to access non-textual content, including images, scripts, multimedia, tables, forms and frames for users who do not wish to display them.
- Use accepted web site features (*e.g.*, drop down menus) to provide information about the purpose and function of web site elements.
- Provide a search engine to facilitate site navigation.

7.19.4 Availability and Access

The NANPA web site shall be available 24 hours a day, 7 days a week.

The web site shall be able to support up to 500 simultaneous users with an average holding time of 0.5 hours.

7.19.5 System Responsiveness

The NANPA shall provide rapid response when accessing the web site. The NANPA shall provide a system such that a 56 Kbps modem-equipped user will be able to view the complete home page in less than 8 seconds, 95% of the time over any 12-month period.

If a user is experiencing greater than 12 seconds to view the complete home page, the NANP Administration System shall have the capability to sense this condition. The NANPA shall open a trouble ticket to investigate whether the problem is between the web site and the Internet Service Provider (ISP) or is in the NANP Administration System. If the user reports to the help desk a problem with accessing information on either the web site or the NANP Administration System, a trouble ticket shall be initiated to determine if an “out of service” condition exists.

7.19.6 Out-of-Service

The NANPA web site shall be operational 99.9% of the time over any 12-month period, excluding scheduled maintenance. NANPA’s inability to deliver services at this level shall be deemed “out of service.” This figure excludes problems due to the customer’s network or equipment.

All scheduled maintenance activities shall occur during non-core business hours, shall require prior approval of the FCC, and shall not exceed a four-hour period unless approved by the FCC.

The NANP Administration System shall be capable of “pinging” its ISP(s) every five seconds to confirm that the round-trip latency is less than or equal to 10 milliseconds. If the latency is greater than 10 milliseconds, the connectivity between the web site and ISP(s) shall be considered out of service and a trouble ticket opened.

7.19.7 Out-of-Service Notification

The NANPA shall be the point of contact for system recovery. The NANPA shall be capable of distributing system status and outage reports to all registered users.

All scheduled maintenance activities shall be approved in advance by the FCC prior to commencing the activity. Once the FCC has approved the scheduled maintenance activity, the NANPA shall provide notification to all registered users as to when the activity will begin and end, as well as the impact on the users.

7.19.8 Web Site Privacy

Web site privacy shall be monitored every time content and transaction functionality is added or changed to avoid any risk of exposing the web site to privacy risks and inappropriate access to the content.

7.19.8.1 Privacy Management

Privacy management shall include the rules that govern the collection, use, retention, and distribution of data. It shall address the privacy needs of users by assessing the risks to confidential data; managing the implementation of privacy policies and associated procedures; ensuring on-going compliance; monitoring developments, accommodating changes, and raising awareness within the NANPA's organization; and training NANPA staff.

7.19.8.2 Privacy Compliance

The NANPA's privacy practice shall contain details listing the compliance with the Gramm-Leach Bliley Act of 1999 regarding regulating the privacy of personally identifiable, non-public financial information in the United States, and the privacy requirements per the Personal Information Protection and Electronic Documents Act in Canada.

The NANPA shall prominently display its privacy statement explaining NANPA's information handling practices.

7.19.8.3 Privacy Breaches

The NANPA shall monitor web site access to ensure that identified privacy practices are not compromised in any fashion.

Any web site data privacy breach shall be documented and reported to the affected user and the appropriate regulatory authority. The NANPA shall report the web site privacy breach to the FCC.

7.19.9 Maintenance of NANC Chair Web Site

The NANPA shall support and maintain an independent web site, the NANC Chair web site (www.nanc-chair.org). The NANPA is the administrator of the NANC Chair web site and as such shall be required to maintain the web site in the same manner (*e.g.*, accessibility, security) as the NANPA web site.

7.19.9.1 Responsibilities

The NANC Chair web site administrator shall post documents as requested by NANC members, members of the industry and regulatory agencies to the web site in a timely manner prior to NANC meetings. In addition, the administrator shall post documents and meeting records from the NANC's designated supporting groups, *e.g.*, Working Groups and Issue Management Groups (IMGs), and make those records easily accessible.

7.19.9.2 Content

The following is a partial list of the content contained on the NANC Chair web site:

- Links to relevant web sites (*e.g.*, those administered by the FCC, the NANPA, and the INC).
- Specific documentation (*e.g.*, NANC meeting minutes).
- Working Group and IMG documentation (*e.g.*, meeting records, work in progress).
- NANC, Working Group, IMG, and appropriate industry forum meeting dates by calendar year.

Section 8

Reporting

The following section discusses the numbering resource reports and the web site requirements for the NANPA.

NANPA reporting shall take three forms: the first form shall be as an update to a table or document on the NANPA web site; the second form shall be as an electronic attachment to an e-mail distribution list; the third form shall be as paper documents physically distributed at meetings.

The NANPA shall provide regular reports on all NANP numbering resources to the NANP distribution list. The NANPA shall provide reports in March and in September on all numbering resources administered by the NANPA. Reports shall contain a written summary interpreting trends and the impact of new data upon numbering resources and the NANP in general. The report shall contain, at a minimum, the following information:

- Assignments (assigned and available resource)
- Assignment rates
- Historical trends
- Projections (*e.g.*, NPA exhaust)
- Triggers for user action

The NANPA shall report annually its projection for NANP exhaust. Further, the NANPA shall notify the FCC, the NANC and other necessary parties of any significant changes, as they occur, that might substantially alter the NANP exhaust projection.

The report format shall be subject to change and shall include any other information the NANC or the FCC deem necessary. The reports shall be for all resources not in a designated form of jeopardy. For those jeopardy resources the NANPA shall publish reports on a monthly basis when there are high assignment rates and the resources are in danger of being depleted within two years.

In addition, the NANPA shall identify and develop other reports deemed necessary for managing the NANP resources in the future.

8.1 Annual Report

The NANPA shall publish this document annually to report on the status of the NANP, NPAs, and CO Codes.

The report shall be published during the first quarter of each year. It shall contain the results of the previous year-end NRUF survey results. The annual report shall also be reviewed during the NANC annual performance review process.

The annual report shall contain at a minimum, but not be limited to:

- Brief description of the NANP
- Historical trends
- Highlights/significant milestones reached during previous year
- Current NPA Code assignment listings-Alphabetical by State/Province and in numerical order
- Current list of reserved NPAs
- NRUF forecast results-Current year forecast
- Exhaust projections for individual NPAs and the NANP
- Status of NPA Codes
- NPA-specific dialing plans
- Description of all numbering resources assigned by the NANPA and appropriate points of contact
- Activities identified in the Annual Report shall also be placed on the NANPA web site

8.2 NRUF Report

This report shall be produced and delivered to the FCC, to the NANP member nations, and the NANC. The NANPA shall provide aggregated forecast and utilization data to any requesting U.S. state user twice per year consistent with the dates of the NRUF reporting process.

Within ten calendar days of the request, the NANPA shall provide to any requesting state commission a single report containing only disaggregated data reported by service providers in that state, so long as the request is made 30 days after the deadline for NRUF reporting and before the subsequent NRUF reporting deadline.

Because state commissions might wish to perform their own data analyses, the NANPA shall provide the data to requesting states via electronic transfer, which may include e-mail, or by computer disk. In the alternative, upon request from a state commission, the NANPA shall provide the data in paper copy form without additional charge to the state commission.

8.2.1 Data Anomalies

The NANPA shall provide a statement of any identified anomalies along with documented explanations for each anomaly in all NRUF reports to assist users in assessing the reports' impact and results.

These reports shall serve several different functions, including the following:

- Assist in interpreting the NRUF data.
- Review the NANPA's data management and analytical performance.
- Assess the effectiveness of numbering resource optimization efforts.

8.2.2 Reports to Regulatory Authorities

The NANPA shall produce a list of all standardized NRUF data reports offered to users. The NANPA and interested regulatory authorities shall meet annually to determine the reports' format and content. These reports shall be produced by the NANPA upon demand from an appropriate regulatory authority, and at no charge to the requestor. Agreed-upon changes or modifications to these reports shall be at no charge to the requestor.

These reports, once requested by a regulatory authority, shall be delivered continually until the regulatory authority notifies the NANPA otherwise. The NANPA shall also be prepared to produce a state-level summary of any of the NRUF reports.

Comparison calculations shall properly compensate for the change in geographic coverage of both existing and new NPAs within areas that experienced area code splits during the designated reporting periods.

The list below is not meant to be exclusive of any information, nor of the extent or format of the data requested and required by regulatory authorities or other users. These reports shall support a variety of formats, including, but not limited to, text, Microsoft Excel, and Microsoft Access.

- Number of carriers in a rate center and/or NPA, identified by type. The NANPA shall produce on an as-needed basis a report that identifies the number of carriers that provided a NRUF report in a rate center and/or an NPA categorized by type as defined in FCC Form 502.
- Comparison of actual NPA exhaust with past five exhaust projections. To test the assumptions and gauge the NANPA's accuracy, the NANPA shall produce annually in April and in September reports that compare the actual exhaust dates of each NPA with the NANPA's projections for that NPA over the previous five reporting periods.
- Comparison of most recent NPA and NANP exhaust projections with past five exhaust projections. To test the assumptions and gauge the NANPA's accuracy, as well as to

identify any problems that need to be addressed immediately, the NANPA shall produce reports that compare the most recent projected exhaust dates of NPAs and the NANP with the projected exhaust dates of the previous five reporting periods.

- Comparison of aggregated Service Provider (SP) forecasts in an NPA with actual growth, with and without rationing. To gauge the accuracy of SP forecasts, the NANPA shall produce in April and in September reports that compare previous (aggregated) SP forecasts within an NPA with actual code demand for that same NPA.
- Comparison of actual unidentified demand with non-forecasted demand growth additive. To test the validity of the non-forecasted demand growth additive formula being used, the NANPA shall produce a report in April and in September (after three reporting periods) that compares the output of the formula with the actual quantity of non-forecasted demand that materialized.
- CO Code growth rate by NPA. The NANPA shall produce a semi-annual report that provides the CO Code growth rate by NPA for the current and previous five reporting periods. The NANPA shall also produce a report that compares aggregated growth rates in pooled NPAs with growth rates in those NPAs prior to pooling. To test any conclusions drawn from this report, the NANPA shall also compare growth rates over the same period of time in NPAs that have not been pooled.
- Aggregated utilization data. The NANPA shall produce, in April and in September, a report that provides aggregated utilization rates by category for every NPA. This report shall include a percentage breakdown of numbers in each category (*e.g.*, assigned, reserved, and aging).
- Comparison of data in pooling areas versus non-pooling areas. To begin to test the efficacy of pooling, the NANPA shall produce, in April and in September, a report that compares the utilization rates of each pooled NPA with the aggregated utilization rate in that NPA prior to being pooled. To test any conclusions drawn from this report, the NANPA shall also compare utilization rates over the same period of time in NPAs that have not been pooled.

8.3 NPA Relief Activity Status Report

The NANPA shall report the status of NPA relief planning efforts to the FCC and the NANC, and post its report on the NANPA and NANC-chair web sites on a monthly basis. The report shall contain the following categories:

Category	Detail
NPA	NPA needing relief.
Jurisdiction	NANP member country, state, and locality of NPA needing relief.

Category	Detail
Date Relief Need Identified	Date the NANPA determined that relief was needed.
Declaration Date	Date the NANPA notified the industry and regulators.
Exhaust Date upon Declaration	Projected exhaust date when the need was declared.
Current Exhaust Date	Current projection for exhaust.
Forecasted Exhaust Date	The exhaust date of the NPA based on the latest NRUF data.
Number of Remaining NXXs	Number of NXXs that are available for assignment.
Number of Unavailable NXXs	Number of NXXs that are unavailable for assignment.
Initial Relief Planning Meeting Notice Date	Date the first NPA relief planning meeting notice was distributed.
Actual Filing Date	The date relief plan was actually filed with the appropriate regulatory authority.
Requested Implementation Date	The requested date included in the relief plan when NPA relief shall take place, <i>e.g.</i> , end of mandatory dialing for a split, or the effective date for an overlay. When no date is requested, “none” is indicated.
Requested Relief Type	The recommended NPA relief solution indicated in the relief plan filed with the state commission if the industry was able to reach consensus. In some circumstances, the industry may have reached consensus on more than one alternative.
Requested Approval Date	The date indicated in the relief plan that regulatory authority approval is requested.
Approval Date	The date the relief plan was approved by the regulatory authority.
Approved Relief Type	The type of relief plan approved by the regulatory authority (<i>e.g.</i> , split, overlay).
Approved Implementation Date	The date the regulatory authority has directed that the new NPA is to be implemented, <i>e.g.</i> , end of mandatory dialing for a split or the effective date for an overlay. In certain situations, a relief implementation date is not provided. The date may be determined at a later time or a trigger is identified (<i>e.g.</i> , 60 days after the last NXX code is assigned in the existing NPA).
First Scheduled Implementation Meeting	The date of the initial NPA implementation meeting that the NANPA shall conduct.

Category	Detail
Rationing Date	Date rationing began. If no rationing, leave blank.
Jeopardy Declared	Date on which jeopardy was declared.

8.4 CO Code Activity Status Report

The NANPA shall report the CO Code activity status to the FCC and the NANC, and post on both the NANPA and NANC-chair web sites a monthly status report. This report shall reflect the CO Code administration activity by state, and applicable NANP member country.

The report shall contain the following categories:

Category	Detail
New Applications	All applications that the NANPA is handling for the first time.
Assignments	The number of applications that resulted in the assignment of a new central office code.
Denials	The number of applications that were denied because the applicable criteria were not met.
Reclamations	The number of assigned central office codes reclaimed by the NANPA or returned by the assignee.
Total	The sum of the above categories, equal to the total number of applications processed.

8.5 Other NANP Activity and Status Reports

The NANPA shall provide a status report on any activity that occurs with other NANP resources that it administers. These reports shall be provided to the FCC, the NANC and posted on the appropriate web sites on a monthly basis. The reports shall provide details as appropriate to the resource and the activity, including the NANP member country in which the activity occurred.

8.6 Requests for Additional Reports

The NANPA may also be requested to produce additional reports as needed.

The NANPA may create and provide data in different formats to accommodate requests to cull data and provide customized reports as enterprise services for a fee that is reasonable and based on its costs. (See Section 11 for details on enterprise services).

Note that enterprise services shall be reviewed by the NANC and approved by the FCC, but, once approved, the NANPA shall be free to negotiate a reasonable price with requestors.

8.7 Reference Documentation

The NANPA shall maintain and make readily available an addendum of reference documentation to assist interested parties. The list shall include the most recent version of all guidelines and all NANP-related regulatory directives and requirements. This addendum shall be posted on the NANPA web site and updated as needed.

8.8 Standardized Reports for State Commissions

The NANPA shall produce a series of standardized reports on CO Codes assignment activity. A weekly report of codes assigned and available by NPA shall be available and, at a minimum, include the following information:

- NPA-NXX
- Use (Available, Assigned, Protected, Reserved, Unavailable)
- OCN
- Company
- Rate Center
- Switch
- Initial/Growth
- Assignment Date
- Effective Date

In addition, the NANPA shall provide a report that includes the quantity of CO Codes assigned by the NANPA on a monthly basis. The report shall include the following information:

- ST-State
- NPA-Area code
- NPA Status (*e.g.*, jeopardy, exhausted)
- Monthly Rationed Amount
- Total Number on Priority List-If an NPA is in rationing and a priority list is used, the total number of code requests on the priority list
- Month-Each month of the year and the quantity of codes assigned in that month
- Current Month's Return-The total number of codes returned to the NANPA and made available for assignment

- Year-to-date Returns-The total number of codes returned up through the last reported month
- Protected-The number of protected codes
- Total Unavailable-The total number of codes unavailable for assignment; these include codes assigned, reserved or otherwise unavailable for assignment
- Total Available-The total number of codes available for assignment (i.e., vacant codes)

These reports shall be provided on the NANPA web site.

8.9 Summary of NANPA Technical Reports

Table 8-1. Summary of Technical Reports

Name	Reference	Frequency
Numbering Plan Area	8.0	Weekly and Monthly. Biannually in March and in September.
Central Office Code Status	4.1, 4.2.2, 4.2.4, 8.0	Assigned and available posted daily; status monthly. Biannually in March and September.
International Inbound NPA Code	8.0	Within five days of a new assignment; status monthly. Biannually in March and September.
Personal Communications Service Code	8.0	NRUF form semi-annually; upon any new assignment. Status monthly. Biannually in March and September.
900 Code	8.0	NRUF form semi-annually; upon any new assignment. Status monthly. Biannually in March and September.
800 Code	8.0	Semi-annually; status monthly. Biannually in March and September.
N11 Code	8.0	Semi-annually; status monthly. Biannually in March and September.
555 Code	8.0	New assignments within five days; status monthly. Biannually in March and September.
Carrier Identification Code	6.18.6, 7.5, 9.5.2.4 3.9	Semi-annual incorporating Entity Usage 1 Access Reports; upon any new assignment. Status monthly. Biannually in March and September.

Name	Reference	Frequency
Vertical Service Code	7.18.6, 8.0	Existing VSCs, new VSCs, and updates; status monthly. Biannually in March and September.
Automatic Number Identification	8.0	Existing ANI, new ANI, and new assignments within five business days; status monthly. Biannually in March and September.
Non-Dialable Toll Points	8.0	Semi-annual; status, monthly. Biannually in March and September.
809 Codes	8.0	Semi-annual; status monthly. Biannually in March and September.
Numbering Resource Utilization Form	3.2, 6.0, 6.1.5, 8.0, 8.2.2	Semi-annually on February and August 1st.
Code Relief Planning Report to NANC	5.1.5	Quarterly.
Status of Pending Relief Plans	5.1.9	Monthly, to FCC/NANC.
Contact List Maintenance	4.4, 6.1.2, 7.7	Quarterly.
NANP/NPA Exhaust Analysis	6.16, 7.18.1	Contingent upon material impact and annually.
NPA/NANP Life Impact	6.1.8	Contingent, within 30 days of receipt of the updated NRUF Report.
Reports to Regulatory Authorities	6.1.9, 8.2.2	Contingent, within ten days of request following 30 days after the NRUF reporting deadline.
NRUF Anomalies	6.1.11, 6.3.3, 8.2.1	Contingent, in case of unresolvable anomalies, to State Regulatory Commissions or FCC. Also annually.
NANC Annual Report	7.10, 7.15, 8.1	Annually during first quarter.
CO Code Growth Rate by NPA	8.2.2	Semi-annually.
Aggregated Growth Rates, Pooled vs. Non-Pooled	8.2.2	Upon demand.
Aggregated Utilization Data	8.2.2	Upon demand.
Utilization Rates, Pooled vs. Prior to Being Pooled, Plus Rates in Non-Pooled NPAs	8.2.2	Upon demand.
NPA Relief Activity Status Report	8.3	Monthly.
Disaggregated Data by State	8.2	By request, 30 days after the deadline for NRUF reporting and before the subsequent NRUF reporting deadline.
Number of Carriers in rate center and/or NPA, by Type	8.2.2	Upon demand.
Comparison of Actual NPA Exhaust, with	8.2.2	Upon demand.

Name	Reference	Frequency
Past Five Exhaust Projections		
Comparison of Most Recent NPA/NANP Exhaust Projections with Past Five Exhaust Projections	8.2.2	Upon demand.
Comparison of Aggregated SP Forecasts in a NPA with Actual Growth, with and without Rationing	8.2.2	Upon demand.
Comparison of Actual Unidentified Demand with Non-Forecasted Demand Growth Additive	8.2.2	Upon demand.
Standardized Report for State Commissions on CO Codes Assigned by the NANPA	8.4, 8.8	Weekly and monthly.
Part 4 Form Delinquency Notifications	4.4	Contingent, for code holders not submitting Part 4 forms.
Relief Planning Report	5.1.5	Quarterly.

8.10 Summary of NANPA Performance Reports

Table 8-2. Summary of Performance Reports

Name	Reference	Frequency
Customer Response Rates	2.7.1	Contingent and annual.
Dispute/Plan of Action	2.1.2	Contingent, to be prepared within one business day.
Self-Assessment	7.10, 9.5	Annually and Quarterly to NANC.
Post-Audit Corrective Action Plan	9.1.4	Within 20 days after receipt of the auditor's report and monthly until completion.
Unauthorized User Access	2.13.5, 7.7.9	Contingent upon occurrence.
System Outage	7.19.7	Contingent upon occurrence to all clients.
Privacy Breach	7.19.8.3	Contingent upon occurrence, to affected client, regulatory authority, and FCC
Complaints	2.1.2, 7.10	Contingent, to be prepared within one business day.

Section 9

Audits and Performance Monitoring

9.1 Audit by FCC

The NANPA shall be subject to audits by the FCC or its designees that include the following:

- Compliance with industry guidelines
- Compliance with regulatory directives
- Conflict of Interest
- Neutrality
- NANPA operations and financial viability
- Record verification
- Facilities
- Security
- Enterprise Services

9.1.1 Staff Support

The NANPA shall provide the FCC or its designee access during normal business hours to the NANPA's staff and books, records, and supporting documentation relating to the NANPA function being audited.

9.1.2 Office Facilities

The NANPA shall provide office space, office furnishings, telephone and facsimile service, utilities, office-related equipment, and duplicating services that auditors may require to perform audits.

9.1.3 Audit Results

The NANPA shall make audit results available to the public in a limited manner that protects any confidential information. The NANC shall receive a detailed summary of the audit results such that the content shall not identify any service provider.

If any audit results in the NANPA being notified that it is not in compliance with any law, regulation, or requirement relating to its administration, the NANPA shall be required to take actions to correct any non-compliance.

9.1.4 Compliance

The NANPA shall present a corrective action plan to the NANC within 20 days after the receipt of the auditor's report. The NANPA shall report monthly, or more frequently if appropriate, on the status of compliance efforts and notify the NANC upon completion of the corrective action plan.

In the event that the NANPA does not meet these obligations, all remedies, including termination, may be utilized to correct the default.

The NANPA shall bear the complete expense of compliance activities that arise out of the implementation of a corrective action plan.

9.2 Monitoring

9.2.1 NANPA Client Feedback Survey

The FCC or its designee shall develop a formal feedback survey to permit all interested parties to provide performance assessment data and recommendations to the NANC.

9.2.2 NANPA Annual Operational Review

The NANPA shall undergo an annual operational review to be conducted by the NANC or its designee in conjunction with the FCC.

The operational review shall consist of a review of appropriate NANPA operations and facilities to ensure that the NANPA is performing its functions and responsibilities in accordance with the requirements of the contract. The NANPA shall ensure that all data provided to the group conducting the operational review adheres to service provider confidentiality requirements.

The operational review shall at a minimum, contain the following information:

- State of the NANPA job aids and employee tools
- Status of the system
- Status of security plans and disaster recovery activities
- Status of NPA relief planning activities
- Status of NXX assignments
- Status of NRUF data collection and analysis activities
- Status of CIC, 500, 900 and other resources administered

- Status of continuing education programs for employees to ensure a knowledgeable workforce

9.2.3 Performance Problems and Corrective Action

The NANPA shall implement remedial action, at no charge, to correct any identified performance problems.

The NANPA shall develop a Performance Improvement Plan (PIP) that addresses each area identified that requires performance improvement along with a time for completion. The PIP shall be presented to the NANC for review and acceptance prior to implementation. This presentation shall be at the NANC meeting following the NANC's acceptance of that year's performance review report.

The annual assessment process shall not preclude telecommunications industry participants from identifying performance problems to the NANPA and the NANC as they occur, and from seeking resolution of such performance problems in an expeditious manner.

9.3 Performance Monitoring

The performance monitoring process shall include, but not be limited to, an internal, documented performance monitoring mechanism to be developed and implemented by the NANPA and made available to the NANC and the FCC.

9.4 NRUF-Related Measurements

The review of the NANPA's responsibilities with respect to how well it discharged its duties related to NRUF shall include the following:

- Identification of all service providers utilizing NANP resources, including the maintenance of an up-to-date list of contacts for each service provider obtained from the semi-annual NRUF report and any subsequently updated contact information.
- Distribution of notification of NRUF reporting requirements to all service providers allocated NANP resources.
- Timely analysis of data.
- Review of data to ensure service provider compliance with reporting requirements, including frequency and granularity.
- Timely follow-up with carriers and regulators, as needed to ensure compliance.
- Performance of tests for inconsistencies and anomalies.
- Accuracy of tests for inconsistencies and anomalies.

- Accuracy and timeliness of calculation of exhaust projections for the NANP and individual NPAs.
- Timely notification to the NANC and industry of problems and unusual activity.
- Responsiveness to federal and state regulators.
- Responsiveness to industry.

9.5 Self Assessment and Reporting

The NANPA shall provide a self-assessment of its performance. An annual and quarterly report shall be delivered to the NANC or its designee within 30 days of the measurement period. The NANPA shall provide the following information:

- Summary of areas in which NANPA experienced difficulty and how the NANPA corrected the problem (NANPA internal and external difficulties included).
- Incidences of user dissatisfaction and a description of the action taken by the NANPA to ensure the problem shall not reoccur.
- A summary tally of written and oral complaints identified by performance metric.
- A summary list of major issues addressed by the NANPA including an evaluation of how the NANPA's activities influenced the outcome and how this outcome affected users.

Section 10

Contract Data Requirements List (CDRL)

All CDRLs shall be approved by the FCC.

10.1 Implementation Plan

The contractor shall provide an Implementation Plan per Section 2.14 within 30 days of contract award and an update to that Plan 30 days prior to the takeover of NANP Administration.

10.2 Security Plan

The contractor shall provide a Security Plan per Section 7.6 within 45 days of contract award and an update to that Plan 30 days prior to the takeover of NANP Administration. The Security Plan shall be updated annually 45 days prior to the beginning of each Option Year.

10.3 Disaster/Continuity of Operations Plan

The contractor shall provide a Disaster/Continuity of Operations Plan per Section 7.13 within 60 days of contract award. The Plan shall be updated annually 30 days prior to the beginning of each Option Year.

10.4 NANP Administration System Transfer List

The contractor shall provide the NANP Administration System Transfer List per Section 7.17 at the time of the new or modified systems acceptance and the list shall be updated annually.

10.5 System Test Plan

The contractor shall provide a System Test Plan within 75 days of contract award and whenever significant changes or modifications are made to the system per Section 7.12.

10.6 Change Management Plan

The contractor shall provide a Change Management Plan per Section 4.1 within 90 days of contract award.

10.7 Contract Change Management Plan

The contractor shall provide a Contract Change Management Plan for implementing the requirements of Section 2.10 within 90 days after the start of the first Option Year. The Plan shall be reviewed and updated annually 60 days prior to the beginning of each Option Year.

10.8 Training Plan

The contractor shall provide a Training Plan per Section 4.1 within 105 days of contract award. The Plan shall be reviewed and updated annually 30 days prior to the beginning of each Option Year.

10.9 System Maintenance Plan

The contractor shall provide a System Maintenance Plan per Section 7.5 prior to new or modified system acceptance. The Plan shall be reviewed and updated annually 120 days prior to the beginning of each Option Year.

10.10 System Documentation Plan

The contractor shall provide a System Documentation Plan per Sections 2.15.3 and 7.16 at the time of the new or modified systems acceptance and the plan shall be updated annually.

10.11 Performance Improvement Plan

The contractor shall provide a Performance Improvement Plan per Section 9.2.3 on an annual basis following the NANC's acceptance of each year's performance review report.

10.12 Transition Plan

The contractor shall provide a Transition Plan per Section 2.15.4 180 days prior to contract termination.

10.13 System Source Code

The contractor shall provide the system source code, in machine-readable form, 180 days prior to contract termination.

Section 11

Enterprise Services

Enterprise services are additional services that may be provided, for a specific fee, by the NANPA. These are described as services that the NANPA can provide but are limited to meeting the needs of a limited number of customers.

Enterprise services and their associated fees are subject to prior review by the NANC and approval by the applicable regulatory authorities before they can be implemented and made available to the requestor(s).

11.1 Operating Principles

The following operating principles apply to the provision of enterprise services:

- The fees associated with enterprise services shall be fair and reasonable.
- Enterprise service fees for the same service must be the same for all customers.
- Enterprise services must be performed without jeopardizing NANPA duties and responsibilities.
- Proprietary/confidential information provided to the NANPA shall be protected in the provision of any enterprise service.
- Fees associated with an enterprise service shall be collected by the NANPA or the designated billing and collection agent, depending on the NANC recommendation and FCC approval.
- Fees for enterprise services are independent of the price of this contract.

11.2 Required Enterprise Service

The NANPA is required to support the following enterprise services:

- Provide rating and routing input to the RDBS/BRIDS upon request from code applicants (Administrative Operating Company Number [AOCN] function). The information is contained in Part 2 of the CO Code Administration Guidelines. This includes reviewing the information, assisting in the preparation of the information and the actual inputting of the information in the associated databases.
- Provide input of paper submissions (*e.g.*, NRUF data, CO Code applications), either fax or mailed copies, into the system.

- Provide testimony in state regulatory hearings. Any costs associated with testifying in such regulatory hearings shall be treated as enterprise services.

11.3 Audit of Enterprise Services

Any and all approved Enterprise Service(s) will be subject to an audit by an independent auditor.

The NANPA will contract with an auditor to have an audit of all enterprise service offerings the first, third and fifth year of their Term of Administration. The audit report will be conducted during the second quarter of the reporting year and the auditor's report must be provided to the NANC and all appropriate regulatory agencies in the third quarter of the reporting year.

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Appendix A

Terms

ANI II Digits. Automatic Number Identification (ANI) II digits are two-digit pairs sent with the originating telephone number. These digits identify the type of originating station.

Table of Assigned ANI Information Digits Codes

DIGITS	DESCRIPTION
00	Plain Old Telephone Service (POTS) - non-coin service requiring no special treatment
01	Multi-party line (more than 2) - ANI cannot be provided on 4 or 8 party lines. The presence of this "01" code shall cause an Operator Number Identification (ONI) function to be performed at the distant location. The ONI feature routes the call to a CAMA operator or to an Operator Services System (OSS) for determination of the calling number.
02	ANI Failure - the originating switching system indicates (by the "02" code), to the receiving office that the calling station has not been identified. If the receiving switching system routes the call to a CAMA or Operator Services System, the calling number may be verbally obtained and manually recorded. If manual operator identification is not available, the receiving switching system (<i>e.g.</i> , an inter-Local Access Transport Area [LATA] carrier without operator capabilities) may reject the call.
06	Station Level Rating - The "06" digit pair is used when the customer has subscribed to a class of service in order to be provided with real time billing information. For example, hotel/motels, served by PBXs, receive detailed billing information, including the calling party's room number. When the originating switching system does not receive the detailed billing information, <i>e.g.</i> , room number, this "06" code allows the call to be routed to an operator or operator services system to obtain complete billing information. The rating and/or billing information is then provided to the service subscriber. This code is used only when the directory number (DN) is not accompanied by an automatic room/account identification.
07	Special Operator Handling Required - calls generated from stations that require further operator or Operator Services System screening are accompanied by the "07" code. The code is used to route the call to an operator or Operator Services System for further screening and to determine if the station has a denied-originating class of service or special routing/billing procedures. If the call is unauthorized, the calling party shall be routed to a standard intercept message.
10	Not assignable - conflict with 10X test code
12-19	Not assignable - conflict with international out pulsing code
20	Automatic Identified Outward Dialing (AIOD) - without AIOD, the

DIGITS	DESCRIPTION
	<p>billing number for a PBX is the same as the PBX Directory Number (DN). With the AIOD feature, the originating line number within the PBX is provided for charging purposes. If the AIOD number is available when ANI is transmitted, code "00" is sent. If not, the PBX DN is sent with ANI code "20". In either case, the AIOD number is included in the AMA record.</p>
23	<p>Coin or Non-Coin - on calls using database access, <i>e.g.</i>, 800, ANI II 23 is used to indicate that the coin/non-coin status of the originating line cannot be positively distinguished for ANI purposes by the SSP. The ANI II pair 23 is substituted for the II pairs, which would otherwise indicate that the non-coin status is known, <i>i.e.</i>, 00, or when there is ANI failure.</p> <p>ANI II 23 may be substituted for a valid 2-digit ANI pair on 0-800 calls. In all other cases, ANI II 23 should not be substituted for a valid 2-digit ANI II pair which is forward to an SSP from an EAEO.</p> <p>Some of the situations in which the ANI II 23 may be sent:</p> <ul style="list-style-type: none"> • Calls from non-conforming end offices (CAMA or LAMA types) with combined coin/non-coin trunk groups. • 0-800 Calls • Type 1 Cellular Calls • Calls from PBX Trunks • Calls from Centrex Tie Lines
24	<p>Code 24 identifies a toll free service that has been translated to a Plain Old Telephone Service (POTS) routable number via the toll free database that originated for any non-pay station. If the received toll free number is not converted to a POTS number, the database returns the received ANI code along with the received toll free number. Thus, this 24 code indicates that this is a toll free service call since that fact can no longer be recognized simply by examining the called address.</p>
25	<p>Code 25 identifies a toll free service call that has been translated to a Plain Old Telephone Service (POTS) routable number via the toll free database that originated from any pay station, including inmate telephone service. Specifically, ANI II digits 27, 29 and 70 shall be replaced with Code 25.</p>
27	<p>Code 27 identifies a line connected to a pay station which uses network provided coin control signaling. II 27 is used to identify this type of pay station line irrespective of whether the pay station is provided by a Local Exchange Carrier (LEC) or a non-LEC. II 27 is transmitted from the originating end office on all calls made from these lines.</p>
29	<p>Code 29 is used to identify lines serving a confinement/detention facility that are intended for inmate/detainee use and require outward call screening (<i>e.g.</i>, 0+ collect only service). As per Sect. 276 (d) of the Telecom Act, inmate telephone service is considered included in the general category of payphone service. Accordingly, lines identified with</p>

DIGITS	DESCRIPTION
	ANI II 29 include both prison/inmate phones/payphones.
30-32	Intercept - where the capability is provided to route intercept calls (either directly or after an announcement recycle) to an access tandem with an associated Talc Operator Services System, the following ANI codes shall be used:
	30 Intercept (blank) - for calls to unassigned directory number (DN)
	31 Intercept (trouble) - for calls to directory numbers (DN) that have been manually placed in trouble-busy state by Talc personnel
	32 Intercept (regular) - for calls to recently changed or disconnected numbers
34	Talc Operator Handled Call - after the Talc Operator Services System has handled a call for an IC, it may change the standard ANI digits to "34," before out-pulsing the sequence to the IC, when the Telco performs all call handling functions, <i>e.g.</i> , billing. The code tells the IC that the BOC has performed billing on the call and the IC only has to complete the call.
40-49	Unrestricted Use - locally determined by carrier
52	Outward Wide Area Telecommunications Service (OUTWATS) - this service allows customers to make calls to a certain zone(s) or band(s) on a direct dialed basis for a flat monthly charge or for a charge based on accumulated usage. OUTWATS lines can dial station-to-station calls directly to points within the selected band(s) or zone(s). The LEC performs a screening function to determine the correct charging and routing for OUTWATS calls based on the customer's class of service and the service area of the call party. When these calls are routed to the interexchange carrier via a combined WATS-POTS trunk group, it is necessary to identify the WATS calls with the ANI code "52".
60	Telecommunications Relay Service (TRS) - ANI II digit pair 60 indicates that the associated call is a TRS call delivered to a transport carrier from a TRS Provider and that the call originated from an unrestricted line (<i>i.e.</i> , a line for which there are no billing restrictions). Accordingly, if no request for alternate billing is made, the call shall be billed to the calling line.
61	Cellular/Wireless Personal Communications Service (PCS) (Type 1) - The "61" digit pair is to be forwarded to the interexchange carrier by the local exchange carrier for traffic originating from a cellular/wireless PCS carrier over type 1 trunks. (Note: ANI information accompanying digit pair "61" identifies only the originating cellular/wireless PCS system, not the mobile directory placing the call.)
62	Cellular/Wireless PCS (Type 2) - The "62" digit pair is to be forwarded to the interexchange carrier by the cellular/wireless PCS carrier when routing traffic over type 2 trunks through the local exchange carrier access tandem for delivery to the interexchange carrier. (Note: ANI information accompanying digit pair "62" identifies the mobile directory number placing the call but does not necessarily identify the true call point of origin.)
63	Cellular/Wireless PCS (Roaming) - The "63" digit pair is to be

DIGITS	DESCRIPTION
	forwarded to the interexchange carrier by the cellular/wireless PCS subscriber "roaming" in another cellular/wireless PCS network, over type 2 trunks through the local exchange carrier access tandem for delivery to the interexchange carrier. (Note: Use of "63" signifies that the "called number" is used only for network routing and should not be disclosed to the cellular/wireless PCS subscriber. Also, ANI information accompanying digit pair "63" identifies the mobile directory number forwarding the call but does not necessarily identify the true forwarded-call point of origin.)
66	TRS - ANI II digit pair 66 indicates that the associated call is a TRS call delivered to a transport carrier from a TRS Provider, and that the call originates from a hotel/motel. The transport carrier can use this indication, along with other information (e.g., whether the call was dialed 1+ or 0+) to determine the appropriate billing arrangement (i.e., bill to room or alternate bill).
67	TRS - ANI II digit pair 67 indicates that the associated call is a TRS call delivered to a transport carrier from a TRS Provider and that the call originated from a restricted line. Accordingly, sent paid calls should not be allowed and additional screening, if available, should be performed to determine the specific restrictions and type of alternate billing permitted.
70	Code 70 identifies a line connected to a pay station (including both coin and coinless stations) which does not use network provided coin control signaling. II 70 is used to identify this type pay station line irrespective of whether the pay station is provided by a LEC or a non-LEC. II 70 is transmitted from the originating end office on all calls made from these lines.
80-89	Reserved for Future Expansion "to" 3-digit Code
93	Access for private virtual network types of service: the ANI code "93" indicates, to the IC, that the originating call is a private virtual network type of service call.
95	Unassigned - conflict with Test Codes 958 and 959

AOCN. Administrative Operating Company Number. Also refers to the company that updates Traffic Routing Administration (TRA) databases under contract to a code holder.

Carrier Identification Codes. Carrier identification codes (CICs) are used to route and bill calls in the public switched telephone network. CICs are four-digit codes in the format XXXX. To obtain a CIC, an applicant shall purchase access from an access provider, who shall in turn apply to North American Numbering Plan Administrator (NANPA) for the assignment on behalf of the access purchaser. Reflecting their origin, CICs may be classified as Feature Group (FG) B or (FG) D, depending on the type of access purchased.

Auditor. Neutral Fourth Party vendor selected to audit the telephone number administration and assignment functions for the telephony industry in the United States and all North American Numbering Plan (NANP) Administrators, including the Pooling administrator.

Bidder. The company submitting a bid response to this RFP.

Billing and Collection Agent. The designated vendor responsible for managing NANPA financial arrangements and payments between the industry and the NANP Administration vendor.

Code Holder. The code holder is the Local Exchange Routing Guide (LERG) assignee of the Numbering Plan Area (NPA)-NXX.

Contractor. The winning bidder for NANPA.

Easily Recognizable Codes. When the second and third digits of an area code are the same, that code is called an easily recognizable code (ERC). ERCs designate special services; *e.g.*, 888 for toll-free service.

Enterprise Services. Functions performed by the Administrator that are outside of the requirements and responsibilities detailed within this proposal and associated industry guidelines and regulatory orders.

Feature Group B. Provides trunk side access to telephone company end office switches with an associated uniform 950-XXXX access code for an InterExchange Carrier's use in originating and terminating communications.

Feature Group D. Provides trunk side access to telephone company end office switches with an associated 101XXXX access code for an InterExchange Carrier's use in originating or terminating communications; no access code is required for calls to an InterExchange Carrier over Feature Group D switched access service if the end-user's telephone number is subscribed to that InterExchange Carrier.

Federal Registration Number (FRN). The FRN is a unique 10-digit number that is assigned to an entity that does business with the Federal Communications Commission.

Knowledge Base. A database provided on a Support Web Site programmed with application-specific, self-help information that is constantly being improved, added-to, and updated based on information gathered from use of the Application.

INC. The Industry Numbering Committee (INC) is an industry forum operating under the auspices of the Alliance for Telecommunications Industry Solutions (ATIS). Their mission is to provide an open forum to address and resolve industry-wide issues associated with the planning, administration, allocation, assignment and use of numbering resources and related dialing considerations for public telecommunications within the NANP area.

International Telecommunication Union (ITU) Study Group. There are 15 ITU study groups that focus on a variety of topics. See: <http://www.itu.int/ITU-T/studygroups/>

NCS Pearson. NCS Pearson is a global provider of applications, services, and technologies for education, testing, assessment, government and complex data management. See: <http://www.ncspearson.com/>

N11 Codes. Service codes, commonly called N11 codes because of their format, are used to provide three-digit dialing access special services. In the United States, the Federal Communications Commission (FCC) administers N11 codes, and recognizes only 211, 311, 511, and 711 as nationally assigned.

211	Community Information and Referral Services
311	Non-emergency Police and Other Governmental Services (U.S.)
411	Local Directory Assistance
511	Traffic and Transportation Information (U.S.)
611	Repair Service
711	Telecommunications Relay Service (TRS)
811	Business Office
911	Emergency

North American Numbering Council (NANC). The NANC is a Federal Advisory Committee established pursuant to the United States Federal Advisory Committee Act, 5 U.S.C., App. 2 (1988) (FACA). The NANC was established to advise the FCC and other NANP member countries on issues related to NANP Administration, and to advise the Commission on local number portability administration issues in the United States. The NANC also develops policy recommendations on numbering issues, initially resolves disputes and provides guidance to the Pooling Administrator (PA) as well as the NANPA.

The NANC's Charter under the FACA provides that, in carrying out its responsibilities, the NANC shall assure that all NANP administrators support the following policy objectives:

- That the NANP facilitates entry into the communications marketplace by making numbering resources available on an efficient, timely basis to communications service providers;
- That the NANP does not unduly favor or disfavor any particular industry segment or group of consumers;
- That the NANP does not unduly favor one technology over another;
- That the NANP gives consumers easy access to the public switched telephone network; and

- That the NANP ensures that the interests of all NANP member countries are addressed fairly and efficiently, fostering continued integration of the NANP across NANP member countries.

NANP. The NANP is the basic numbering scheme for the public switched telecommunications networks in the following 19 countries (formerly known as World Zone 1): Anguilla, Antigua & Barbuda, Bahamas, Barbados, Bermuda, British Virgin Islands, Canada, Cayman Islands, Dominica, Dominican Republic, Grenada, Jamaica, Montserrat, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Trinidad & Tobago, Turks & Caicos Islands, and the United States. The format of the NANP is in compliance with ITU standards as detailed in Recommendation E.164.

NXX. The format of an NPA code or a central office code (N=2-9, X=0-9)

Ported Telephone Numbers. This refers to the ability to maintain a subscriber's Telephone Number (TN) while changing vendors.

Rate Area. Identifies the geographic area used to distinguish rating and billing boundaries.

Term of Administration. Shall be for the period of time between February 2003 and January 2008. At any time prior to the termination of the initial or subsequent Term of Administration, the Term of Administration may be renewed up to five years in length with the approval of the NANPA vendor and the appropriate regulatory authorities.

Query. The ability to request and retrieve data stored in the NANP Administration System

Respondent. The company submitting a bid response to this RFP.

Subcontractor. One not in the employment of the contractor, who is performing designated services and functions contained within this document.

U.S. Department of State Study Group A. Study Group A advises the State Department, through the United States Telecommunications Advisory Committee, on issues related to U.S. policy, standardization, regulatory, and competitive aspects of the operations and tariffs of telecommunications services.

User(s). The code applicants, code holders, regulatory organizations, and the general public that shall interface with NANPA on all the functions and applications contained with this document.

Vertical Service Codes. Vertical service codes (Viscous) are customer-dialed codes that provide customer access to features and services provided by local exchange carriers, interexchange carriers, Commercial Mobile Radio Service (CMRS), etc. Services invoked by Viscous include call forwarding, automatic callback, customer originated trace, and many others. The format of a Vertical Service Code (VSC) is *XX or *2XX (touch-tone) and 11XX or 112XX (rotary). For example, call forwarding is activated by dialing *72 or 1172.

Appendix B

Interface Contact Information

Current North American Numbering Plan Administrator (NANPA) Vendor

NeuStar

Ron Conners

NANPA Director

1120 Vermont Avenue N.W., Suite 550

Washington, DC 20005

Telephone: 202-533-2650

Pooling Administrator

NeuStar

Barry Bishop

Director Thousand Block Pooling Administration

116 S. Cumberland

Park Ridge, IL 60606

Telephone: 312-706-6255

Number Portability Administration Center

NeuStar

200 South Wacker, Suite 3400

Chicago, IL

Telephone: 1-888 NPAC HELP

Local Exchange Routing Guide (LERG)

Telcordia Technologies

Traffic Routing Administration

8 Corporate Pl. 3N141

Piscataway, NJ 08854-4156

Telephone: 732-699-6700

Mobile Block Identifier (MBI) Administration

NCS Pearson

Mitch Kaufman

MBI Administration Account Management

Telephone: 703-435-8255

Linda Link

MBI Administration Account Management

Telephone: 651-683-6208

Contact information is included to facilitate responses to this document by potential bidders and is not intended to endorse the particular organizations listed.

Appendix C

Index to the Binder of Decisional Principles

A Compilation of Numbering Rules, Orders, and Industry Agreements

Date of Last Update

8/24/01

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Federal Communications Commission (FCC) Numbering Documents

Topic	Release	Adopted	Caption	Action
Carrier Identification Codes (CICs)	FCC 97-125	4-7-97	In the Matter of Administration Of The North American Numbering Plan Carrier Identification Codes (CICs); Petition for Rulemaking of VarTec Telecom., Inc.	Second Report And Order
CICs	FCC 97-364	10-09-97	Administration of the North American Numbering Plan Carrier Identification Codes	Further Notice of Proposed Rulemaking and Order
CICs	DA 97-1524	7-18-97	In the Matter of Administration of the North American Numbering Plan Carrier Identification Codes (CICs)	Order On Reconsideration, Order On Application For Review, And Second Further Notice Of Proposed Rulemaking
CICs	FCC 97-386	10-22-97	In the Matter of Administration of the North American Numbering Plan, Carrier Identification Codes (CICs)	Order On Reconsideration, Order On Application For Review, And Second Further Notice Of Proposed Rulemaking
CICs	DA 97-2439	11-20-97	In the Matter of Administration of the North American Numbering Plan Carrier Identification Codes (CICs)	Order
CICs	DA 98-412	3-3-98	North American Numbering Council Presents Report And Recommendations Concerning Use And Assignment Of Carrier Identification Codes (CICs) (CC Docket No. 92-237)	Public Notice
CICs	DA 98-828	5-1-98	In the Matter of Administration of the North American Numbering Plan Carrier Identification Codes (CICs)	Declaratory Ruling
CICs	FCC 00-255	7/21/00	In the Matter of Implementation of the Subscriber Carrier Selection Changes Provisions of the Telecommunications Act of 1996, Policies and Rules Concerning Unauthorized Changes of Consumers Long Distance Carriers	Third Report and Order and Second Order on Reconsideration
CICs	DA 01-1519	6-26-01	Common Carrier Bureau Directs The NANP Administrator (NANPA) To Make Available For Assignment Additional Feature Group D Carrier Identification Codes	Public Notice

Topic	Release	Adopted	Caption	Action
Local Competition	FCC 99-227	4-19-96	In The Matter Of Implementation Of The Local Competition Provisions In The Telecommunications Act Of 1996	Notice Of Proposed Rulemaking
Local Competition	FCC 99-170	8-1-96	In The Matter Of Implementation Of The Local Competition Provisions In The Telecommunications Act Of 1996; Interconnection Between Local Exchange Carriers And Commercial Mobile Radio Service Providers	First Report And Order
Local Competition	FCC 96-333	8-8-96	In The Matter Of Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Interconnection Between Local Exchange Carriers And Commercial Mobile Radio Service Providers; Area Code Relief Plan For Dallas And Houston. Ordered By The Public Utility Commission Of Texas; Administration Of The North American Numbering Plan; Proposed 708 Relief Plan And 630 Numbering Plan Area Code By Ameritech-Illinois	Second Report And Order And Memorandum Opinion And Order
Local Competition	FCC 99-227	8-23-99	In The Matters Of Implementation Of The Telecommunications Act Of 1996: Telecommunications Carriers' Use Of Customer Proprietary Network Information And Other Customer Information; Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Provision Of Directory Listing Information Under The Telecommunications Act Of 1934, As Amended	Third Report And Order In CC Docket No. 96-115, Second Order On Reconsideration Of The Second Report And Order In CC Docket No. 96-98, And Notice Of Proposed Rulemaking In 99-273
Local Competition	FCC 99-170	7-12-99	In The Matters Of Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Interconnection Between Local Exchange Carriers And Commercial Mobile Radio Service Providers; Area Code Relief Plan For Dallas And Houston, Ordered By The Public Utility Commission Of Texas; Administration Of The North American Numbering Plan; Proposed 708 Relief Plan And 630 Numbering Plan Area Code By Ameritech-Illinois	First Order On Reconsideration
Local Competition	FCC 99-243	9-13-99	In The Matters Of Implementation Of The Local Competition Provisions Of The	Third Order On Reconsideration Of

Topic	Release	Adopted	Caption	Action
			Telecommunications Act Of 1996; Interconnection Between Local Exchange Carriers And Commercial Mobile Radio Service Providers; Area Code Relief Plan For Dallas And Houston, Ordered By The Public Utility Commission Of Texas; Administration Of The North American Numbering Plan; Proposed 708 Relief Plan And 630 Numbering Plan Area Code By Ameritech- Illinois; Petition For Declaratory Ruling Regarding Area Code Relief Plan For Area Codes 508 And 617, Filed By The Massachusetts Department Of Public Utilities; New York Department Of Public Service Petition For Expedited Waiver Of 47 C.F.R. Section 52.19(C)(3)(Ii)	Second Report And Order And Memorandum Opinion And Order

Topic	Release	Adopted	Caption	Action
N11 Codes	FCC 92-203	5-4-92	In The Matter Of The Use Of N11 Codes And Other Abbreviated Dialing Arrangements	Notice Of Proposed Rulemaking
N11 Codes	FCC 97-51	2-18-97	In The Matter Of The Use Of N11 Codes And Other Abbreviated Dialing Arrangements	First Report And Order And Further Notice Of Proposed Rulemaking
N11 Codes	FCC 00-257	7-21-00	In The Matter Of The Use Of N11 Codes And Other Abbreviated Dialing Arrangements	Second Report And Order
N11 Codes	FCC 00-256	7-21-00	In The Matter Of Petition By The United States Department Of Transportation For Assignment Of An Abbreviated Dialing Code (N11) To Access Intelligent Transportation System (Its) Services Nationwide; Request By The Alliance Of Information And Referral Systems, United Way Of America, United Way 211 (Atlanta, Georgia), United Way Of Connecticut, Florida Alliance Of Information And Referral Services, Inc., And Texas I&R Network For Assignment Of 211 Dialing Code; The Use Of N11 Codes And Other Abbreviated Dialing Arrangements	Third Report And Order And Order On Reconsideration
N11 Codes	FCC 00-327	8-24-00	In The Matter Of Implementation Of 911 Act; The Use Of N11 Codes And Other Abbreviated Dialing Arrangements	Fourth Report And Order And Third Notice Of Proposed Rulemaking CC Docket No. 92-105 Notice Of Proposed Rulemaking Wt Docket No. 00-110

Topic	Release	Adopted	Caption	Action
NRO/State Orders	FCC 98-224	9-11-98	In The Matter Of Petition For Declaratory Ruling And Request For Expedited Action On The July 15, 1997 Order Of The Pennsylvania Public Utility Commission Regarding Area Codes 412, 610, 215, And 717; Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996	Memorandum Opinion And Order And Order On Reconsideration [“Pennsylvania Order”]
NRO/State Orders	FCC 99-248	9-15-99	In The Matter Of California Public Utilities Commission Petition For Delegation Of Additional Authority Pertaining To Area Code Relief And NXX Code Conservation Measures	Order
NRO/State Orders	FCC 99-249	9-15-99	In The Matter Of Florida Public Service Commission Petition To Federal Communications Commission For Expedited Decision For Grant Of Authority To Implement Number Conservation Measures	Order
NRO/State Orders	FCC 99-246	9-15-99	In The Matter Of Massachusetts Department Of Telecommunications And Energy's Petition For Waiver Of Section 52.19 To Implement Various Area Code Conservation Methods In The 508, 617, 781, And 978 Area Codes	Order
NRO/State Orders	FCC 99-247	9-15-99	In The Matter Of New York State Department Of Public Service Petition For Additional Delegated Authority To Implement Number Conservation Measures	Order
NRO/State Orders	FCC 99-260	9-28-99	In The Matter Of Maine Public Utilities Commission Petition For Additional Delegated Authority To Implement Number Conservation Measures	Order
NRO/State Orders	DA 99-2635	11-30-99	In The Matter Of Petition Of The Ohio Public Utilities Commission For Delegation Of Additional Authority To Implement Number Conservation Measures	Order
NRO/State Orders	DA 99-2636	11-30-99	In The Matter Of Petition Of The Public Utility Commission Of Texas For Expedited Decision For Authority To Implement Number Conservation Measures	Order
NRO/State Orders	DA 99-2633	11-30-99	In The Matter Of Connecticut Department Of Public Utility Control's Petition For Delegation Of Additional Authority To	Order

Topic	Release	Adopted	Caption	Action
			Implement Area Code Conservation Measures	
NRO/State Orders	DA 99-2637	11-30-99	In The Matter Of Petition Of The Public Service Commission Of Wisconsin For Delegation Of Additional Authority To Implement Number Conservation Measures	Order
NRO/State Orders	DA 99-2634	11-30-99	In The Matter Of New Hampshire Public Utilities Commission's Petition For Additional Delegated Authority To Implement Number Optimization Measures In The 603 Area Code	Order
NRO/State Orders	DA 01-2013A1	8-23-01	In the Matter of Numbering Resource Optimization, Implementation of the Local Competition Provisions of the Telecommunications Act of 1996, Connecticut Department of Public Utility Control Expedited Petition for Additional Authority, Michigan Public Service Commission Petition for Additional Delegated Authority to Implement Number Conservation Measures, Petition of the North Carolina Utilities Commission for Additional Delegated Authority to Implement Number Optimization Measures	Order

Topic	Release	Adopted	Caption	Action
Number Resource Optimization	DA 98-2265	11-6-98	Common Carrier Bureau Seeks Comment On North American Numbering Council Report Concerning Telephone Number Pooling And Other Optimization Measures	Public Notice
Number Resource Optimization	FCC 99-122	5-27-99	In The Matter Of Numbering Resource Optimization; Connecticut Department Of Public Utility Control Petition For Rulemaking To Amend The Commission's Rule Prohibiting Technology-Specific Or Service-Specific Area Code Overlays; Massachusetts Department Of Telecommunications And Energy Petition For Waiver To Implement A Technology-Specific Overlay In The 508, 617, 781, And 978 Area Codes; California Public Utilities Commission And The People Of The State Of California Petition For Waiver To Implement A Technology-Specific Or Service-Specific Area Code	Notice Of Proposed Rulemaking
Number Resource Optimization	FCC 00-104	3-17-00	In The Matter Of Numbering Resource Optimization	Report And Order And Further Notice Of Proposed Rule Making
Number Resource Optimization	DA 00-1549	7-11-00	Common Carrier Bureau Responses To Questions In The Numbering Resource Optimization Proceeding	Public Notice
Number Resource Optimization	DA 00-1616	7-20-00	In The Matter Of Numbering Resource Optimization; Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Petition Of The Arizona Corporation Commission For Delegated Authority To Implement Number Conservation Measures; Petition Of The Colorado Public Utilities Commission For Additional Delegated Authority To Implement Number Resource Optimization Measures; Petition Of The Georgia Public Service Commission For Additional Delegated Authority To Implement Number Conservation Measures; Indiana Regulatory Commission Petition For Additional Delegated Authority To Implement Number Conservation Measures; Iowa Utilities Board	Order

Topic	Release	Adopted	Caption	Action
			Petition For Delegation Of Additional Authority And Request For Limited Waiver; Public Service Commission Of Kentucky's Petition For Additional Delegated Authority To Implement Number Conservation Measures; Missouri Public Service Commission Petition For Additional Delegated Authority To Implement Number Conservation Measures In The 314, 417, 573, 636, 660 And 816 Area Codes; Nebraska Public Service Commission Petition For Delegation Of Additional Authority To Implement Area Code Conservation Methods In The 402 Area Code; North Carolina Utilities Commission Petition For Additional Delegated Authority To Implement Number Optimization Measures; Petition Of The Oregon Public Utility Commission For Expedited Decision For Authority To Implement Number Conservation Measures; Petition Of The Pennsylvania Public Utility Commission For Delegated Authority To Implement Number Conservation Measures; Petition Of The Tennessee Regulatory Authority For Additional Delegated Authority To Implement Numbering Conservation Methods; Petition Of The Utah Public Service Commission For Accelerated Grant Of Authority To Implement Number Conservation Measures; Petition Of The Virginia State Corporation Commission For Expedited Decision On Delegation Of Authority To Implement Number Conservation Measures; Washington Utilities And Transportation Commission's Amended Petition For Additional Delegated Authority To Implement Number Conservation Measures	
Number Resource Optimization	FCC 00-280	7-31-00	In The Matter Of Numbering Resource Optimization	Order
Number Resource Optimi-	FCC 00-429	12-7-00	In The Matter Of Numbering Resource Optimization; Petition For Declaratory Ruling And Request For Expedited Action On The July 15, 1997 Order Of The Pennsylvania	Second Report And Order, Order On Reconsideration In CC Docket No. 96-98 And

Topic	Release	Adopted	Caption	Action
zation			Public Utility Commission Regarding Area Codes 412, 610, 215, And 717	CC Docket No. 99-200, And Second Further Notice Of Proposed Rulemaking In CC Docket No. 99-200
Number Resource Optimi- zation	DA 01-386	2-13-01	In The Matter Of Numbering Resource Optimization; Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Petition Of The Louisiana Public Service Commission For Expedited Decision For Additional Delegated Authority To Implement Numbering Conservation Measures; Petition Of The Maryland Public Service Commission For Additional Delegated Authority To Implement Number Conservation Measures; Massachusetts Department Of Telecommunications And Energy Petition For Delegation Of Additional Authority To Implement Number Conservation Measures In Massachusetts; New Jersey Board Of Public Utilities Petition For Delegated Authority To Implement Number Conservation Measures	Order
Number Resource Optimi- zation	[None]	3-13-01	FCC Releases Numbering Resource Utilization Report; Report Shows That Number Optimization Measures Adopted By The FCC Are Improving Phone Number Usage Efficiency	News
Number Resource Optimi- zation	DA 01-656	3-13-01	In The Matter Of Numbering Resource Optimization; Implementation Of The Local Competition Provisions Of The Telecommunications Act Of 1996; Indiana Utility Regulatory Commission's Petition For Additional Delegated Authority To Implement Number Optimization Measures; Indiana Utility Regulatory Commission's Request For Expedited Ruling And Second Supplement To Petition For Additional Delegated Authority To Implement Number Conservation Measures; Minnesota Public Utilities Commission Petition For Additional Delegated Authority To Implement Number Conservation Measures; Missouri Public Service Commission's Petition For Delegation	Order

Topic	Release	Adopted	Caption	Action
			Of Authority To Implement Number Pooling In The 816 Area Code; Petition Of The Oklahoma Corporation Commission For Expedited Decision For Delegation Of Authority To Implement Number Conservation Measures; Petition Of The Tennessee Regulatory Authority For Additional Delegated Authority To Implement Number Conservation Measures; Vermont Public Service Board's Petition For Additional Delegated Authority To Implement Number Conservation Measures; Petition Of The Public Service Commission Of West Virginia For Additional Delegated Authority To Implement Number Conservation Measures	
Number Resource Optimization	FCC 00-333	8-31-01	In The Matter Of Numbering Resource Optimization	Order

Topic	Release	Adopted	Caption	Action
Local Number Portability	FCC 96-286	7-2-96	In The Matter Of Telephone Number Portability	First Report and Order and Further Notice of Proposed Rulemaking
Local Number Portability	FCC 97-74	3-6-97	In The Matter Of Telephone Number Portability	First Memorandum Opinion and Order on Reconsideration
Local Number Portability	FCC 97-289	8/14/97	In The Matter Of Telephone Number Portability	Second Report and Order

Topic	Release	Adopted	Caption	Action
NANP Administration	FCC 95-019	1-12-95	In the Matter of Proposed 708 Relief Plan and 630 Numbering Plan Area Code by Ameritech – Illinois	Declaratory Ruling and Order
NANP Administration	FCC 95-283	7-13-95	In The Matter Of The Administration of the North American Numbering Plan	Report and Order
NANP Administration	FCC 97-372	10-09-97	In The Matter Of The Administration of the North American Numbering Plan / Toll Free Service Access Codes	Third Report and Order
NANP Administration	DA 01-1210	5-14-01	Re: Petition of the Connecticut Department of Public Utility Control for Authority to Conduct a Voluntary Unassigned Number Porting Trial	Letter

Canadian Numbering Documents

The Canadian information to be included in the binder is currently under discussion in the Canadian Steering Committee on Numbering (CSCN). The binder shall be updated to reflect the outcome of their discussions.

Current contact information:

Brenda Stevens, Canadian Radio Television and Telecommunications Commission (CRTC),
819-953-8882

Glenn Pilley, CNA, 613-563-7242

Doug Birdwise, CSCN Chair, 613-781-4366

CNA website: www.cnac.ca

Alliance for Telecommunications Industry Solutions (ATIS) Sponsored Committees

Carrier Liaison Committee (NIIF, OBF, Industry Numbering Committee (INC), Toll Fraud Prevention)
Committee T1
Committee O5 - Wood Poles
Generic Requirements Users Group
Internetwork Interoperability Test Coordination Committee
Interactive Voice Response (IVR) Forum
International Forum for American National Standards Institute (ANSI)-41 Standards Technology (IFAST)
Network Reliability Steering Committee
Network and Services Integration Forum (NSIF)
Protection Engineers Group
Text Telephone (TTY) Forum
Telecommunications Industry Forum

ATIS Sponsored Committee Documents - INC Documents

Doc Number	Title	Date
INC 95-0407-008	Central Office Code (NXX) Assignment Guidelines, with Appendices and Forms	Aug 2001
INC 01-0515-028	Guidelines for the Administration of Telephone Numbers	May 2001
INC 94-0429-002	555 NXX Assignment Guidelines, and Forms	Aug 2001
INC 95-0407-009	Personal Communication Services N00NXX Code Assignment Guidelines	Aug 2001
INC 99-0127-023	Thousands-Block Number (NXX-X) Pooling Administration Guidelines	Aug 2001
INC 95-0127-006	Carrier Identification Code Assignment Guidelines	Jan 2001
INC 94-0826-003	International Inbound Numbering Plan Area (NPA) (INT/NPA/NXX) Assignment Guidelines	Jan 2001
INC 01-0108-027	INC Report on Unassigned Number Porting (UNP)	Jan 2001
INC 97-0404-012	900 NXX Assignment Guidelines	Aug 2001
INC 97-0404-016	NPA Code Relief Planning and Notification Guidelines	Jul 2001
INC 96-0802-015	Vertical Service Code Assignment Guideline	Feb 2000
INC 96-0308-011	NPA Allocation Plan & Assignment Guidelines	Feb 2000
INC 95-0512-010	INC Report on Personal Communications Service (PCS) N00 Portability	Aug 1999
INC 98-0713-021	Location Routing Number Assignment Practices	Jul 1998
INC 97-0606-018	500/900 Report on Local Exchange Carrier (LEC) Number Portability	Jul 1998
INC 97-0131-017	Uniform Dialing Plan	Jul 1998
INC 96-0802-014	Toll Free Resource Exhaust Relief Planning Guidelines	Jul 1998
INC 94-0401-001	800-855 Number Assignment Guidelines	Jul 1998
INC 98-0116-020	ANI Information Digit Codes	Sep 1998
INC 95-0127-005	INC Administrative Guidelines	Jan 1998
INC 96-0607-013	INC Report on Number Portability	Jul 1996
ICCF96-0411-014	555 Technical Service Interconnection Arrangements	Apr 1996

Doc Number	Title	Date
ICCF95-0735-013	Procedures for Change in E.164 Country Code Assignments	Jul 1995
INC 95-0407-007	INC Terminology & Definitions	Mar 1995

ATIS Sponsored Committee Documents - NIIF Documents

Title	Date
NIIF Reference Document, Version 3.1	Jun 2001
NRRIC Educational Document: “Intracompany Responsibilities within the Telecommunications Industry”	May 2001
Service Provider Identification (SPI) Alternatives Report	May 2001
Company Specific Contact Directory	Jan 2001
Guidelines for Reporting Local Number Portability Troubles in a Multiple Service Environment	Dec 2000
Telecommunications Relay Service	Dec 1999
Cellular Document/Interface Matrix	Dec 1999
AIN/IN Trigger Usage in a Multi-Provider Environment	Jun 1999
Interconnection Template Document	Oct 1998
Implementing Plain Old Telephone Service (POTS) IAM Priority Level 0 Matrix	Jun 1998
Recommended Notification Procedures to Industry Changes in Access Network Architecture (ICCF92-0726-004)	Jun 1998
Network Capabilities Supporting Line Level LSP Identification	Apr 1998
NIIF Local Number Portability (LNP) Interconnection Testing Document	Jan 1998
877 Industry Test Plan	Jan 1998
Illinois FCC Field Trial Test Plan for LNP	Jan 1998
NIAC Working Document “Specialized Routing in a Competitive Local Exchange Environment”	Nov 1997
Technical Interconnection Arrangements for 500-Like Non-Geographic Services (ICCF96-0913-015)	Nov 1997
Network Testing Committee Reference Document	Apr 1997
SS7 Cause Codes & Tones and Announcements Document	Mar 1997
Interconnection Between LECs Operations Handbook	Jan 1997
ICCF Report on Rating and Routing in a Competitive Local Environment (ICCF96-1220-016)	Dec 1996
NOF 888 Industry Test Plan	Sep 1995
SS7 Point Code Exchange Specifications and Medium Requirements	
NIIF Principles & Procedures, Version #7	

Title	Date
555 Technical Service Interconnection Arrangements, IITP Phases	

ATIS Sponsored Committee Documents - OBF Documents

Title	Date
Exchange Message Interface, Issue 18, Revision 1	Apr 2001
Small Exchange Carrier Access Billing Guideline, Issue 7	Apr 2001
ASR Mechanized Specifications, Version 23	Feb 2001
Multiple Exchange Carrier Access Billing Guidelines, Issue 7	Feb 2001
ASR Mechanized Specifications, Version 23	Jan 2001
Equal Access Subscription-Customer Account Record Exchange, Issue 12	Jan 2001
Design Layout Report-Industry Support Interface, Issue 7	Dec 2000
DLR-Mechanized Interface Specifications, Issue 4	Dec 2000
CABS Auxiliary Report, Issue 4	Nov 2000
Electronic Communications Ordering Guidelines	Oct 2000
Local Service Ordering Guidelines, Issue 5	Aug 2000
Access Service Request Guidelines, Version 22	Apr 2000
Multiple Exchange Carriers Ordering and Design (MECOD)	Mar 2000
CABS PICC Dispute File Specifications	Nov 1999
Industry Guidelines for Toll Free Number Administration, Issue 12	Oct 1999
Telecommunications Service Priority (TSP) Guidelines	Jun 1999
Generic Design Layout Report, Issue 4	May 1999
Local Service Request Guidelines, Issue 4	Apr 1999
Trunk Group Service Request, Issue 4	Mar 1997
Application/Order Form-Physical Fiber Arr, Issue 1	Mar 1994
Expanded Interconnection Application/Order Form-Physical Fiber Arrangement, Issue 1	Mar 1994
Expanded Interconnection Application/Order Form-Virtual Fiber Arrangement, Issue 1	Mar 1994
Common Transport Trunk Group Performance Data, Issue 2	Sep 1990
Service Correction Notification, Issue 1	Sep 1990
Test Line Directory Dictionary, Issue 1	Dec 1989

International Telecommunications Union (ITU) Numbering Documents:

Copies of these documents can be obtained by purchasing them from the ITU.

The details can be obtained by accessing the ITU web site at www.itu.int.

E.164 - The International Public Telecommunication Numbering Plan
E.164.1- Criteria and Procedures for the Reservation, Assignment, and Reclamation of E.164 Country Codes and Associated Identification Codes (ICs)
E.169 Application of Recommendation E.164 Numbering Plan for Universal International Freephone Numbers for International Freephone Service
E.168 Application of E.164 Numbering Plan for UPT
E.190 Principles and Responsibilities for the Management and Assignment of E Series International Numbering Resources
E.191 B-ISDN Numbering and Addressing

LNPA Working Documents Applicable to the North American Numbering Council (NANC)

All documents are available on the Web at www.fcc.gov/ccb/Nanc/

EDR Migration Strategy, Jun 2000
Third Report on Wireless Wireline Integration, Dec 2000
Cellular Telephone Industries Association (CTIA) Second Wireless Number Portability Report, Jun 2001
Wireless Number Portability Subcommittee Inter-carrier Test Plan 1.2, Jun 2001
Change Management Test Plan, Jun 2001
Number Portability Administration Center (NPAC) SMS Change Management Process
LNPA Task Force Status Report, (6/18/97)
Final Report & Recommendation, (4/25/97) <ul style="list-style-type: none">• Architecture & Administration Plan for Number Portability

<ul style="list-style-type: none"> • Technical & Operational Requirements Task Force Report • Inter-Service Provider LNP Operations Flows • Inter-Service Provider LNP Operations Flows Provisioning
Architecture Planning Task Force
Functional Requirements Specification (NANC FRS)
Interoperable Interface Specification (NANC IIS)

Telecommunications Industry Association (TIA) Documents:

Standards documents can be found listed at <http://global.his.com>

Glossary

AOCN	Administrative Operating Company Number
ANI	Automatic Number Identification Information Integers
ANSI	American National Standards Institute
ATIS	Alliance for Telecommunications Industry Solutions
BIRRDS	Business Integrated Routing and Rating Database System
CDRL	Contract Data Requirements
CIC	Carrier Identification Code
CLEC	Competitive Local Exchange Carrier
CLLITM	COMMON LANGUAGE [®] Location Identification
CMRS	Commercial Mobile Radio Service
CO	Central Office
COTS	Commercial Off-the-Shelf
CRTC	Canadian Radio Television and Telecommunications Commission
CSCN	Canadian Steering Committee on Numbering
CTIA	Cellular Telephone Industries Association
DDS	Document Distributions System
ERC	Easily Recognizable (area) Code
EFT	electronic file transfer
FACA	Federal Advisory Committee Act
FAQ	frequently asked question
FCC	Federal Communications Commission
FG A,B,C,D	Feature Group A, B, C, D
FRN	Federal Registration Number
ILEC	Incumbent Local Exchange Carrier
IMG	Issues Management Group
INC	Industry Numbering Committee
IPD	Initial Planning Documents
ISP	Internet Service Provider
ITU	International Telecommunication Union
LARG	Local Access Routing Guide
LATA	Local Access Transport Area

LEC	Local Exchange Carrier
LERG	Local Exchange Routing Guide
LIDB	Line Information Database
LLC	Limited Liability Corporation
LNP	Local Number Portability
MBI	Mobile Block Identifier
MDN	Mobile Directory Number
MIN	Mobile Identification Number
MTE	Months-to-Exhaust
NANC	North American Numbering Council
NANP	North American Numbering Plan
NANPA	North American Numbering Plan Administrator
NASC database)	Number Administration Service Center (Toll-Free 800/866/877/888
NBANC	North American Numbering Plan Billing and Collection, Inc.
NIIF	Network Interconnection and Interoperability Forum
NIST	National Institute of Standards and Technology
NPA	Numbering Plan Area (Area Code)
NPAC	Number Portability Administration Center
NRUF	Number Resource Utilization and Forecasting
OCN	Operating Company Number
ONI	Operator Number Identification
OSS	Operator Services System
PA	Pooling Administrator
PCS	Personal Communications Service
PIP	Performance Improvement Plan
POTS	Plain Old Telephone Service
PSTN	Public Switched Telephone Network
SP	Service Provider
SPOC	Single Point of Contact
STrP	Software Transition Plan
TN	Telephone Number
TRA	Traffic Routing Administration
TRS	Telecommunications Relay Service
TSB	Technical Standards Bureau

VSC

Vertical Service Code

NANPA Transition Plan

March 28, 2003

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Section 1

Overview

This is the plan for the transfer of North American Numbering Plan Administrator (NANPA) functions from NeuStar to a new contractor by the Federal Communications Commission (FCC). The objective of this Transition Plan is to assure the continuity of NANPA functions during the contract change. This plan establishes a 90-day transition period that would commence on a date specified by the FCC. Transition time intervals for individual functions and services performed by NANPA are established in this Transition Plan to allow for an effective migration of responsibilities to the selected vendor.

The following assumptions were used in the development of this Transition Plan:

- The selected vendor will assume all NANPA responsibilities over the course of the 90-day transition period;
- The selected vendor will provide the resources needed to carry out its obligations during the transition; and
- The selected vendor will be knowledgeable of all industry administration and assignment guidelines, the NANPA Requirements Document and federal/state directives pertaining to number administration.

The Transition Plan is divided according to the different functions NANPA performs. Each of these functions has a separate Transition Plan. The functions are listed below and discussed in detail in Section 5:

- Central Office Code Administration and NANPA Web site Transition
- NRUF Transition
- NPA Relief Planning Transition
- NANP Resource Administration Transition (Resources other than central office codes).

This Transition Plan also identifies specific equipment, hardware and software that NeuStar currently uses in its performance as the NANPA and will be made available to the newly selected vendor. (Such information is included as part of Appendix A).

Section 2

Description of the Transition

During the transition, the selected vendor will assume responsibilities for all numbering resources currently administered by NeuStar as the NANPA. These include:

- Numbering Plan Area (NPA) Codes
- Central Office (CO) Code Administration within the U.S. NPAs
- 809 NPA Central Office Codes
- International Inbound NPA 456 NXX Codes
- Personal Communications Service (PCS)/N00 codes (500)
- 900 NXX Codes
- 800 NXX Codes Reserved for and Assigned to the Caribbean
- N11 Service Codes
- 800 855-XXXX line numbers
- 555-XXXX line numbers
- Carrier Identification Codes (CICs)
- Vertical Service Codes (VSCs)
- ANI II Digits (Automatic Number Identification Information Integers).

The selected vendor will also assume responsibility for NPA Relief Planning in the United States and its territories and Number Resource Utilization and Forecast (NRUF) reporting.

The Transition Plan envisions a Transition Kick-Off Meeting and initial NANPA process and system familiarization sessions. The Transition Kick-Off Meeting will be chaired by the FCC with the goal of further defining the Transition Plan and the specific dates for actions by both NeuStar and the successful vendor. The actual transition will take place in months 7 through 9 of the Base Year. The cutover of responsibilities will be completed by the end of month 9 of the Base Year, following a successful transition.

An overview of the NANPA contract recompetition and transition process appears in Exhibit 2-1.

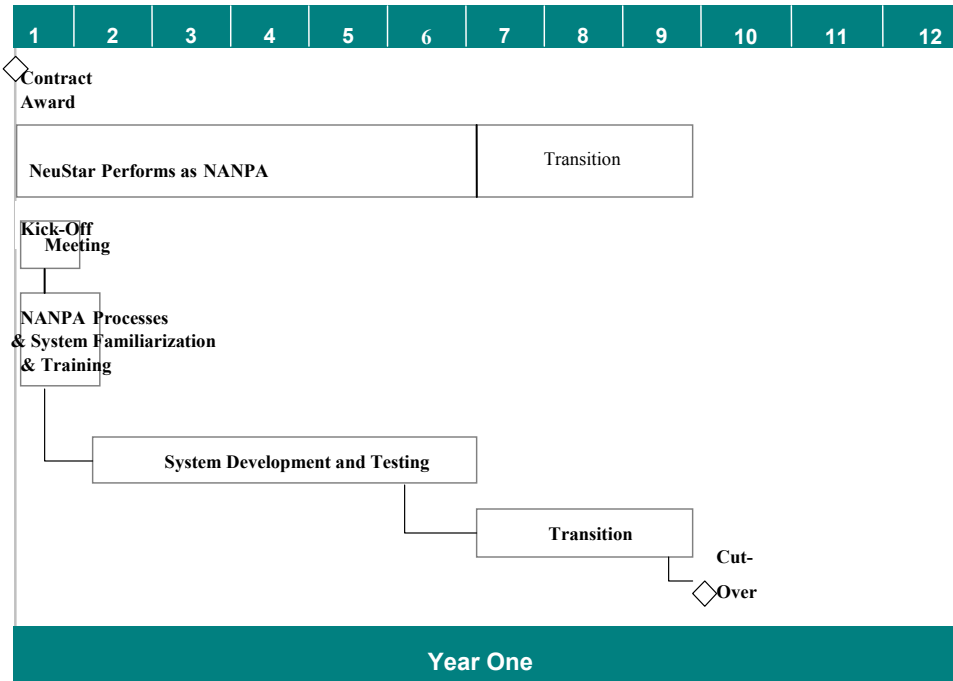


Exhibit 2-1. Overview of the NANPA Contract Recompensation and Transition Process

2.1 NeuStar Performs as NANPA

From contract award to cutover, NeuStar will perform its current responsibilities as the NANPA. This includes participating in industry forums and committees such as, but not limited to, Industry Numbering Committee, Study Group A, NANC and NANC subtending groups.

2.2 Kick-Off Meeting

Within one week of Contract Award, the FCC will facilitate a kick-off meeting between the selected vendor and NeuStar. This meeting will discuss the Transition Plan and focus on the following:

- Schedule for the “NANPA Processes and System Familiarization and Training” and the begin date for the “Transition Period.”
- Roles and responsibilities of the selected and incumbent vendor to effectively and efficiently transfer NANP administration to the selected vendor at the end of the transition period.

- Information and training needs of the selected vendor.

2.3 NANPA Processes and System Familiarization and Training

Within four weeks of contract award, NeuStar will provide the new vendor with an overview of and training for the NANPA processes and system. This overview and training shall provide the new vendor with information needed to develop the new NANPA system and to assume the duties of the NANPA at the end of the transition period. Section 5 details potential topics for the overview and training. Information needs shall be determined and agreed to at the kick-off meeting.

2.4 System Development and Testing

During this activity and through the first six months after contract award, the selected vendor shall be developing and testing the new NANPA system. The new NANPA system shall satisfy the requirements documented in the NANPA Technical Requirements Document (Attachment A).

2.5 Transition

The transition period shall take place after system development and testing is completed, over a period of three months. During the transition period, notification, records transfer, web site transfer, and assumption of NANPA responsibilities shall occur. Sections 3, 4, and 5 of this Transition Plan detail activities that shall occur during the transition period.

2.6 Cutover

After system development and testing and transition are complete, the FCC will authorize the cutover of NANP administration from NeuStar to the selected vendor. After cutover, the selected vendor shall assume all roles and responsibilities as the NANPA.

2.7 Changes to the Transition Plan

It is anticipated that this Transition Plan may change during the Kick-Off Meeting and at other times during the Base Year. All changes, modifications or amendments to the Transition Plan must be in writing and approved by the FCC Contracting Officer.

Section 3

Notification

Notification to industry members and regulators of the transition of NANPA functions from NeuStar to the selected vendor will be performed in a coordinated effort between NeuStar and the new vendor. Notification will be accomplished through a variety of mechanisms: e-mail distribution, NANPA web page, planning letters, press releases, and referrals. Coordination between NeuStar and the selected vendor will be necessary to ensure proper notification is provided. Proper notification is important because NANPA's location, phone numbers, fax numbers, web site, and e-mail addresses will change at various times during the transition. Therefore, it is expected that the selected vendor will be closely involved in the development and distribution of this information.

Section 4

Records Transfer

Paper and electronic NANPA records will be transferred to the selected vendor at the direction of the FCC. These records include those items specifically identified in this Transition Plan as well as records listed in Appendix B. The selected vendor will be responsible for all reasonable and necessary costs associated with packaging, shipping and delivery of paper records.

Section 5

Current System Functions and Transition Processes

The subsections below provide the detailed functional Transition Plans as described in Section 2.

To initiate this transition process, the FCC will provide arrangements for and facilitate a meeting with the selected vendor and NeuStar within one week of contract award. The purpose of the meeting will be to review the Transition Plan and begin the necessary coordination efforts needed to provide for an effective transfer of NANPA responsibilities. This process also includes the identification of specific dates that are referenced in the individual functional Transition Plans.

5.1 Central Office Code Administration and NANPA Web Site Transition Plan

5.1.1 Function Overview

Central Office Code Administration administers central office codes in the United States and its territories using federal and state regulatory directives, the NANPA Requirements Document, and industry developed guidelines (Central Office Code [NXX] Assignment Guidelines). Code administration responsibilities include maintaining records of all central office code assignments, receiving and processing applications for central office code assignments, and preparing and providing reports on central office codes.

The NANPA web site (www.nanpa.com) serves as the repository for assignment information, as well as the place to look for updates on relief planning and the introduction of new area codes. In addition, the site serves as a gateway for entry into the Code Administration System (CAS) and the Document Distribution System (DDS) for relief planning documentation. Updates to the NANPA web site are made daily.

5.1.2 System Overview

Central Office Code Administration uses CAS to process central office code requests. CAS is a web-based system that allows service providers and NANPA Code Administration to enter and process Part 1 application forms, Months-to-Exhaust worksheets, and Part 4 forms on-line. CAS allows automatic tracking of forms submitted, enabling service providers and NANPA code administrators to query and report on the status of applications. Finally, CAS creates a variety of reports used by the code administration organization in performing its duties.

CAS provides an electronic means of creating, storing, and processing forms as well as other documents used in the code administration process. The present database size is 4 gigabytes (GB). CAS tracks and stores the following additional information:

- Session data (login times, number of users logged in, etc.)
- Volume Data (# of Part 1's submitted, Part 3's issued, etc.)
- User Personal Identification Numbers
- Information about NPA splits
- Additional user information (i.e., company's headquarters address).

CAS supports two Graphics User Interface (GUIs): a Java-based GUI used to assist NANPA personnel in administering codes and a web-based GUI used by service providers to request codes. The web-based GUI uses Java server pages to provide the page logic. The current release version of CAS is 2.14v.

Users that interact with CAS include: Service Providers, Auditors, Log-in Administrators, Reports Administrators, Senior Code Administrators, Code Administrators, Reclamation Coordinators, Database Managers, Systems Administrators and Regulators.

Users that interact with NANPA DDS include: Service Providers, NANPA Relief Planners, Regulators, and other various entities that represent the Service Provider community.

Since CAS is a web-based system, the NANPA web site will also transition at the same time as the CAS function. Although the NANPA web site is large and contains an enormous amount of information (present size of NANPA web site is 1 GB), the structure is fairly simple and can be learned by direct inspection. There are two exceptions.

Area code reports	Several reports are available that list area codes by number, location, etc. To maintain the consistency and accuracy of the reports, they are generated in real time from a single database that is updated whenever there is a change.
Document Distribution System	DDS encompasses a set of functions aimed at those who participate in the relief planning process. These functions include the ability to distribute and archive documents and to maintain, update, and distribute to multiple mailing lists based on areas of interest.

The NANC-Chair web site will also transition at the same time as the NANPA web site. The present size of this web site is 34 megabytes (MB).

NeuStar will transfer at no cost to the selected vendor the domain names for both the NANPA web site (<http://www.nanpa.com>) and the NANC-Chair web site (<http://www.NANC-Chair.org>). In addition, NeuStar will transfer all contents on both web sites to the selected vendor.

5.1.3 Relationship to Other Plans

Code Administration receives daily updates from the NRUF system of all service providers that have submitted NRUF forecasts (by NPAs and rate centers) to assist Code Administration with the processing of applications for new codes. Code applicants must have an “NRUF on file” in order for a central office code to be assigned.

Since the web site is the repository for relief planning information, the transition of DDS functionality will occur along with the NANPA web site. With regard to DDS, it is expected that NeuStar NPA Relief Planning administrators will continue to have access to DDS to permit the uploading of documentation and the distribution of industry notifications associated with NPA relief planning until the NPA relief planning function is transitioned to the selected vendor.

The final CAS Transition Plan must meet the IEEE Software Transition Plan documentation requirements.

5.1.4 Reference Documents

The following is a list of documents and other material pertaining to the Code Administration process. Each of these items will be provided to the selected vendor in electronic format (e.g., e-mail, compact disk) except where noted.

- Code Administration System (CAS) Internal User Guide
- Code Administration System (CAS) External User Guide
- Code Administration System (CAS) Systems Requirement Document
- Code Administration System (CAS) DB Logical Model Document
- Service Provider Job Aids posted to NANPA web site
- Reclamation Job Aid
- Code Applications & Supporting Documentation (hard copy)
- Contact Lists
- General correspondence letters to regulators, service providers (hard copy)
- Ad Hoc reports produced for States/FCC/Service providers (hard copy)

- Selected Rate Center & Wire Center maps (hard copy)
- Selected Tariff information (hardcopy)
- Jeopardy Procedures
- State letters assuring that confidentiality protection is in place (hard copy)
- Reports Transfer Documentation
 - State Binders (hard copy)
 - Jeopardy
 - State Specific Reports – Illinois (IL), California (CA), Tennessee (TN), Connecticut (CT), others

5.1.5 Support Services

Hardware

A list of all hardware currently used to support CAS, the NANPA web site and DDS is provided in Appendix A. This hardware will be made available by NeuStar to the selected vendor.

By way of overview, the system architecture is comprised of primary and back-up sites, with fail-over mechanisms. There are two Hewlett Packard (HP) 9000 N-Class database servers; one is a primary HP 9000 N-Class database server, and the other is a mirrored version and acts as a back-up\”hot-swap.” There also two application servers for support. Both are Dell 1550 Poweredges’s with WebLogic 5.1\Service Pack 9 installed.

The web servers are also bundled with the WebLogic 5.1\Service Pack 9. This web server package resides on one Penguin Relion server with 600 Mhz processor, 512 RAM, and 8 GB hard drive, and also a Dell 1550 PowerEdge with 1 gigahertz (Ghz) processor, 1 GB of RAM and two (2) 18 GB of hard drive.

The NANPA-DDS database is supported by the same specifications and type of hardware as the previous Dell 1550 PowerEdge web server.

Both CAS servers, DDS and the NANPA web site reside within the NeuStar corporate firewalls and are safeguarded by Cyberguard 4.1v.

For communication protocols to occur among all required servers, two (2) Cisco 6509 Routers\Hubs, 6509 Premiere Support 4 hour response support, and two (2) 3Com SuperStack II Baseline switches are used. This permits a fail-over\”hot-swap” from the primary to the back-up site.

It should be noted that the NANPA System Elements are not Government Furnished Equipment or Government Furnished Information and the FCC disclaims any warranty of the suitability, accuracy, or completeness of the NANPA System Elements. Any use of the NANPA System Elements will be at the sole risk of the offerors.

Software

The current release version of CAS application software is CAS 2.14v.

Application software is transferable in either Java Archive (JAR) or Tape Archive (TAR) file format. If transfer of the CAS application software is desired, the selected vendor must specify the preferred method for application transfer to occur. Appendix A provides a listing of third party software used to support CAS, DDS and the NANPA web site.

Other Resources

The area code maps displayed on the NANPA web site are supplied quarterly by Geographic Data Technology (GDT). The selected vendor must either make contractual arrangements with GDT to continue this service or find an alternate source for the maps.

The custom code incorporated into the NANPA site was developed by a firm that is no longer in business. Should the new vendor wish assistance in working with this code, the original developers will need to be contacted. NeuStar will provide contact information upon request.

NANPA Processes and System Familiarization and Training

During the NANPA process and system familiarization session, a one-day training session on the CAS process, the Code Administration System, and the use of CAS will be provided. Specifically, the training will consist of an overview of the CAS system, current operation and a demonstration of how the current CAS Internal GUI and the CAS External GUI work. NeuStar will provide the selected vendor with a single copy of all electronic documentation (reference documents listed above). This training session will take place in NeuStar offices in Concord, CA and will be conducted by NeuStar's Code Administration staff.

There will be a one-week session that will include a review of the CAS software design and database logic. This review will also cover the NANPA and North American Numbering Council (NANC)-Chair web sites as well as DDS.

Transition

The following plan describes: (1) the transition of the Code Administration functions, and (2) CAS, including the NANPA and NANC-Chair web sites and DDS.

Code Administration Functions:

The transition of Code Administration functions will commence on the first day of the transition period, as defined during the Kick-Off Meeting. Beginning no later than 21 calendar days (three weeks) after the start of transition, and continuing for a period of 14 calendar days (two weeks), NeuStar NANPA Code Administrators will process applications side by side with the selected vendor to familiarize the selected vendor with the process. This activity will take place at NeuStar's Concord, CA offices using NeuStar's facilities and equipment. During this time frame, the selected vendor will have the opportunity to become familiar with CAS functionality and begin to assimilate itself into the central office code processing function. This process will be under the direct supervision of NeuStar's NANPA Code Administration group. During the overlap period, the selected vendor's administrators must recognize and take control of the documentation related to all applications associated with code administration (assignments, suspensions, changes, reclamation, etc.).

On the first day of this two-week session, a one-day training session on Code Administration will be conducted at NeuStar's Concord, CA offices. Designated code administration staff will conduct training. The training will cover the CAS functions used by code administrators to process applications.

The end of this two-week session, on a date identified by NeuStar and the selected vendor, will be the last day that NeuStar accepts Part 1 and Part 4 submissions, either via CAS, e-mail or fax submission. Any faxed or e-mailed Part 1 or Part 4 submissions that have not been entered into CAS will be provided in paper copy to the selected vendor for processing. In addition, any Part 1 applications held over for future allocation or suspended for upcoming lotteries will be provided to the selected vendor for processing.

Beginning the calendar day following the date identified as the last day NeuStar accepts code applications, the selected vendor will assume total responsibility for the code administration process at the selected vendor's facilities. All Part 1 and Part 4 submissions will be directed to the selected vendor. The selected vendor will be required to follow-up on any outstanding notifications to service providers concerning errors in their Part 1 submissions. Any Code Administration related information (e.g., Part 1 applications, Part 4 submissions) that NeuStar may receive on or after that date will either be forwarded to the selected vendor by NeuStar or NeuStar will refer the submitting party to the selected vendor.

The selected vendor will be responsible for ensuring that documentation is moved to its facility. A specific date for moving this documentation will be agreed to by NeuStar and the selected vendor, but this date shall not exceed more than three business days after the last day NeuStar accepts and processes applications.

Code Administration System, to include the NANPA web site, NANPA DDS and the NANC-Chair web site:

Transition for the Code Administration System functions, NANPA web site, NANC-Chair web site and NANPA-DDS will commence on the first day of the transition period. At the beginning of week two of the transition period, a week-long technical knowledge transfer session will be held between NeuStar's technical support and the selected vendor's technical support team. Specifically, during this week-long session, the first three days will focus on application and database modules for both CAS and NANPA-DDS. One day will be devoted to a review of web content management and reports generated by third party tools from CAS. One day will focus on system administration support and review of service level agreements.

During weeks three and four of the transition period, the selected vendor will need to begin to establish and resolve all facility logistics to accommodate the system hardware should the selected vendor choose to employ it. During this time the back up\'\'hot swap\'\' site materials will be shipped to the new vendor, so it may, at the option of the selected vendor, be tested and reconfigured as necessary for the selected vendor's physical environment. A Pre-Install checklist will be provided so all materials and other logistics are covered prior to shipment. During these two weeks, on a date identified by NeuStar and the selected vendor, a back-up Digital Audio Tape (DAT) tape, and a zip file, with database text files, will be provided to the new vendor so the vendor may load the database and activate application servers used for the NANPA web site and all other production oriented links (including CAS and NANPA DDS functionalities).

At this point the NeuStar CAS and DDS site and all of the associated servers will be brought down, packed and shipped to the new vendor or otherwise disposed of at the direction of the FCC. NeuStar will be responsible for all necessary costs for the shipment of this equipment. NeuStar, under the continued agreement to act as the NANPA, will receive compensation for these costs.

Since the migration of the NANPA site will involve a Domain Name System (DNS) change, notification of the migration to the selected vendor will be provided using existing distribution channels. NeuStar will assist in this effort by redirecting visitors to the new vendor's web sites for a period of at least 30 days.

5.2 NRUF Reporting Transition Plan

5.2.1 Function Overview

NRUF reporting is a semi-annual process whereby service providers submit utilization and forecast information to NANPA for use in the development of NPA and NANP exhaust projections. NANPA collects and stores this information on an on-going basis and provides this information to the FCC and state commissions. Service providers are required to report

by February 1 and August 1 of each year. Service providers may submit updates and corrections to previous submissions.

5.2.2 System Overview

The current system collects, sorts, and stores NRUF data submitted by service providers. Data may be sent via e-mail (i.e., Excel spreadsheet) or Electronic File Transfer (EFT) file format. Data submitted via spreadsheet or EFT file is uploaded into a relational database (Microsoft Access 97). The NRUF system provides error-checking capabilities to ensure specific information has been provided (e.g., company information, contact information, service provider name and Operating Company Number (OCN), Federal Registration Number (FRN), utilization data, and at least one completed forecast form). Any errors identified are documented and an e-mail is generated to those service providers that submitted filings with errors. The e-mail indicates the specific error(s) detected and the need to correct these errors within five business days. These e-mails also contain the name and contact information of the NANPA employee that the service provider can contact to discuss these errors and seek additional information.

The NRUF system also generates NPA or statewide reports for use by those state public service commissions that have appropriate confidentiality protections in place. Reports provided to state commissions contain disaggregated service provider-specific NRUF data for those carriers operating in the respective states. In addition, the NRUF system provides status information to allow the NANPA to determine whether the required NRUF Form is on file for the OCN listed on any central office code application.

5.2.3 Relationship to Other Plans

The NRUF system produces daily a listing of all the service providers that have submitted an NRUF. CO Code and 500/900 Administration use this information to determine if a code applicant has a forecast on file for the location (e.g., NPA and/or rate center) in which it is requesting a CO code. Such information is required in order for a CO code to be assigned.

5.2.4 Reference Documents

The following is a list of documents and other materials pertaining to the NRUF process and the forecasting of NPA and NANP exhaust. Each of these items will be provided to the selected vendor in electronic format (e.g., e-mail, compact disk) except where noted.

- NRUF Job Aid (latest version available at time of transfer)
- Form 502 (geographic and non-geographic)
- NRUF Database (including the data for each biannual collection from September 2000 to present)

- NRUF e-mail distribution contact list
- Service provider NRUF Form 502 submissions
- State letters providing assurance of appropriate confidentiality protections in place (paper only)
- Any additional documentation sent to NANPA as part of the NRUF process (e.g., lists of anomalous CO codes)
- Latest NPA exhaust model
- Latest NANP exhaust model

5.2.5 Support Services

Hardware

The NRUF system consists of a HP Vectra VL 600 personal computer with a Viewsonic A75S 17-inch monitor, 30 MB hard drive and 128 MB of memory. The system is loaded with MS Office 2000 and Norton Antivirus 2001 V7.0. Included with the system is a HP LaserJet 2100 TN, 1200 DPI printer.

Software

The NRUF system uses Microsoft Access 97.

The NPA and NANP exhaust models use Microsoft Excel 97, Microsoft Access 97 and Microsoft Visual Basic 97.

Since Microsoft Excel, Access and Visual Basic are part of the Microsoft Windows 2000 Operating System, which NeuStar obtained under a corporate, non-transferable master site license agreement, this software does not transition.

Other Resources

Due to time limitations associated with the need to design and deploy a system to collect, process, and store service provider NRUF submissions, no documentation was created that provides a detailed description of how the NRUF database operates. However, expertise in Microsoft Access should enable the selected vendor to understand the basic program logic used by Access to upload, parse, process, store and report on collected data.

The NPA and NPA exhaust models are built on a Microsoft Excel platform and have routines written in Visual Basic.

NANPA Processes and System Familiarization and Training

During the NANPA process and system familiarization sessions, NeuStar will provide the new vendor with a half-day training session on the NRUF process and NRUF system.

Specifically, the training will consist of an overview of the NRUF system, the system's current operation and a demonstration of how the system works. This training session will take place at a designated NeuStar location and will be conducted by the NRUF Manager and designated staff.

For training on the NPA and NANP exhaust models, a two-hour training session will be conducted in order to walk through the models. This training will take place on the same day as the NRUF half-day training session, after completion of the NRUF training. NANPA staff involved in the development of NPA and NANP exhaust projections will conduct this training.

During the NANPA process familiarization sessions, there will be a one-week session that will include a review of the NRUF software design and database logic. NeuStar will provide the selected vendor the following material:

- Single copy of all electronic and paper documentation
- NRUF server, printer and copy of Access 97 NRUF database

Transition

The transition of NRUF and the associated system will commence on the first day of the transition period as defined during the Kick-Off Meeting.

Beginning at week five of the transition period, NeuStar will notify service providers via the NRUF e-mail distribution contact list regarding the transition of the NRUF function. NeuStar will distribute additional reminders via the same distribution channel during the next two weeks.

The end of week six of the transition period, on a specific date to be identified by NeuStar and the selected vendor, will be the last day that NeuStar collects and processes NRUF submissions. Effective the following day, the selected vendor will assume this function. On this date, all NRUF submissions will be directed to the new vendor for processing. The selected vendor also will be required to follow-up on any outstanding notifications to service providers concerning errors in their submissions. Any NRUF related information (e.g., Form 502 submissions, follow-up to error messages, general information) that NeuStar may receive will be forwarded to the selected vendor by NeuStar, or NeuStar, as appropriate, will refer any inquiries to the selected vendor.

NeuStar will provide a compact disk (CD) to the selected vendor containing the NRUF database as of 4:00 pm ET on the last day NeuStar processes NRUF submissions. This CD will be forwarded via overnight delivery to the selected NANPA.

The NRUF Transition Plan is dependent upon the specific time during the year that the transition is to take place. More specifically, if transition is to occur near one of the two

semi-annual submission time frames (February 1 and August 1), the timing of the transition may need to be adjusted to account for the submission cycles.

5.3 NPA Relief Planning Transition Plan

5.3.1 Function Overview

NPA Relief Planning is conducted in accordance with applicable state and federal regulatory orders and industry guidelines. The primary functions of NPA Relief Planning involve determining the need for relief, notifying appropriate local industry and state regulators of this need and convening a preliminary meeting to discuss local dialing, communities of interest, and other pertinent issues. Relief planners then develop various relief alternatives and distribute an Initial Planning Document, conduct industry meetings, attempt to attain consensus on the selection of one or more relief alternatives, produce meeting minutes, submit a petition to the responsible state regulator on behalf of the industry for approval of a relief plan and facilitate an initial implementation meeting after a relief plan has received regulatory approval.

5.3.2 System Overview

NPA relief planning uses the Document Distribution System (DDS) to provide notifications and documents relating primarily to NPA relief planning activities. The system permits users to sign up and receive notifications on a state-by-state basis. Documentation such as meeting notifications, planning letters, meeting minutes, and regulatory filings are available for download in Adobe Portable Document Format (PDF).

5.3.3 Relationship to Other NANPA Functions

NPA relief planners obtain information concerning code processing activity as input on NPA relief alternatives and jeopardy assignment procedures.

5.3.4 Reference Documents

The following is a list of documents and other material pertaining to NPA relief planning. These documents will be provided to the selected vendor:

- All NPA Relief Planning files in NeuStar's Sterling, Virginia office and in virtual offices. Note: all NPA Relief Planning documents prior to September 1999 (i.e., when DDS was introduced) will be provided in hard copy. Contents of the files include:
 - Meeting notifications and minutes,
 - Initial Planning Documents (IPDs),

- Rate center maps and related relief alternatives,
- Jeopardy declarations and procedures,
- Regulatory orders,
- Relief alternative spreadsheets and instructions on use of spreadsheets,
- Written testimony,
- Press releases,
- Relief Planning filings/petitions, and
- General correspondence (letters from regulators, users) etc.;
- Planning Letters (paper copy for letters prior to July 1996 and electronic format thereafter);
- DDS user guide;
- List of industry fax contacts and DDS distribution lists (electronic); and
- Methods and Procedures manual which describes standard procedures for a wide range of topics including: conduct of meetings, IPDs, the consensus process, sample notification letters, press releases, Planning Letters, regulatory filings, and implementation meetings.

5.3.5 Support Services

Hardware

NeuStar currently uses Microsoft Windows-based personal computers to support the software (e.g., Microsoft Excel) used in NPA relief planning (see Appendix A for list of hardware).

Software

The following software applications and documentation will be provided to the selected vendor:

- DDS application software (Release 1.0) and related documentation, which include:
 - Description of external customer interface (e.g., password protected download page and archives), and
 - Description of relief planner administration interface, which includes the functions of: user administration, document administration, recipient administration, area code administration, and survey administration;

- DDS archived files, user signup files, e-mail logs, user directory, signup logs, and user distribution lists by state;
- NPA Relief Planning information on the web other than DDS, which includes a NPA status chart and NPA relief triggers chart; and
- A sample Excel spreadsheet model and electronic copies of all spreadsheets that were created using this model in the development of Initial Planning Documents.

Because Microsoft Excel is part of the Microsoft Windows 2000 Operating System, which NeuStar obtained under a corporate, non-transferable master site license agreement, this software does not transition.

Other Resources

None.

NANPA Processes and System Familiarization Training

During the NANPA process familiarization session, a one-day training session concerning NPA relief planning activities will be provided. Specifically, the training will consist of an overview of the relief planning process including a status on each active NPA Relief Planning project and a review of the DDS software. This training session will take place at a designated NeuStar location.

Transition

The transition of NPA Relief Planning will commence on the first day of the transition period as defined during the Kick-Off Meeting. No later than 14 calendar days (two weeks), NeuStar will provide the selected vendor a single copy on a CD of all electronic files, data and associated software documentation.

During the first eight weeks of the transition period, NeuStar will be responsible for all aspects of NPA Relief Planning. During this transition time, the selected vendor may participate in all NPA relief planning meetings and conference calls.

Beginning the ninth week after the start of the transition period, on a specific date identified by NeuStar and the selected vendor, the selected vendor will assume all NPA Relief Planning duties and will be responsible for receiving all inquiries, requests, concerns, related to NPA Relief Planning, including the status of current relief projects, requests for information or data. In addition, on this same date, the selected vendor will be responsible for responding to state regulators regarding all issues related to relief plan petitions previously filed by NeuStar as the NANPA.

Transfer of all historical paper records and files relating to NPA relief planning will be completed no later than the date the selected vendor assumes responsibility of NPA relief planning. The selected vendor will be responsible for coordinating the packaging, shipping,

and delivery of paper records from NeuStar offices (including virtual offices in New Jersey, Virginia, Florida, and California).

5.4 NANP Resources Transition Plan

5.4.1 Function Overview

NANPA administers a variety of NANP numbering resources. These include area codes, carrier identification codes (CICs), 500-NXX codes, 900-NXX codes, 456-NXX codes, 555 line numbers, 800-855 line numbers, ANI II digits, vertical service codes (VSCs), N11 codes and 800-NXX codes for Bermuda and Caribbean countries not participating in the toll-free database.

5.4.2 System Overview

Current assignment records for active resources are maintained in commonly used personal computer database systems as shown in the table below. As such, these databases are self-documenting.

Resource	Database Software
Area codes	Microsoft Access 2000
Carrier identification codes	FileMaker PRO 5
500-NXX	FileMaker PRO 5
900-NXX	FileMaker PRO 5
555-XXXX	FileMaker PRO 5

Assignments of N11 codes, 456-NXX codes, VSCs and 800-855 line numbers and ANI II digits are listed and maintained on the NANPA web site.

5.4.3 Relationship to Other Plans

500/900 NXX code administration receives daily updates from the NRUF system of all service providers that have submitted NRUF forecasts to assist in the processing of applications for new codes. Code applicants must have an “NRUF on file” in order for a 500/900 code to be assigned. Once NRUF reporting has been transitioned to the selected vendor (i.e., the end of week six of the transition period), the selected vendor will be responsible for providing on a daily basis to NeuStar a 500 and 900 NXX “NRUF on file” until administration of these resources are transitioned to the selected vendor. NeuStar and the selected vendor will coordinate an appropriate electronic mechanism to relay this information to NeuStar.

5.4.4 Reference Documents

NeuStar uses industry guidelines and relevant regulatory proceedings to administer these resources. The documents are in the public domain and readily available. In a few cases, primarily relating to CICs, additional letter-based directives exist. These will be transferred to the selected vendor during the transition.

5.4.5 Support Services

Hardware

NeuStar uses Microsoft Windows-based personal computers to support the database software used in the administration of these resources (see Appendix A for list of hardware).

Software

Microsoft Access 2000 and FileMaker PRO 5 are required to operate the systems. Because Microsoft Access is part of the Microsoft Windows 2000 Operating System, which NeuStar obtained under a corporate, non-transferable master site license agreement, this software does not transition. FileMaker PRO 5 software is available for transition.

Other Resources

None.

NANPA Processes and System Familiarization and Training

The resources are administered under federal regulatory orders and industry guidelines, which are publicly available. No additional training is required other than to familiarize the selected vendor with the location and structure of the existing records and the logistics of processing applications, which are described in the following section.

Transition

The transition will begin on the first day of the transition period as defined during the Kick-Off Meeting. No later than 14 calendar days (two weeks) after the commencement of the transition period, NeuStar will provide the selected vendor an electronic copy of all assignment databases for the relevant resources.

Beginning during week ten of the transition period, on a specific date to be identified by NeuStar and the selected vendor, NeuStar and the selected vendor will work together at NeuStar premises in processing applications for CICs, 500-NXX, 900-NXX and 555-XXXX resources. This will ensure that all applications in process are handled correctly during the transition, along with any reclamation activities in progress. This process will last one week. At the end of that week, the selected vendor will assume the function of administering these resources, including the processing of all new applications as well as any that remain

uncompleted as of the transfer date. A copy of the associated administration databases will be provided by NeuStar to the selected vendor at that time.

The transfer of responsibility for N11 codes, area codes, ANI II digits, non-dialable toll points, vertical service codes, 800-855 numbers, 456-NXX codes, and 800-NXX codes (Caribbean) will take place on the same date as the transfer of CICs, 500-NXX, 900-NXX and 555-XXXX resources. These resources will be discussed with the selected vendor during week ten on-site transition activity.

Transfer of all historical paper records relating to these NANP resources will be completed no later than one week following the date the selected vendor assumes administration responsibilities for these resources.

Section 6

NANPA Forum Participation

NANPA is required to participate in a number of industry fora and committees (i.e., Industry Numbering Committee, Study Group A, NANC and NANC subtending groups).

As the individual functional transitions occur during the transition period, NeuStar will make available the latest knowledge and information concerning resource management and the selected vendor will need to participate and act as a primary resource in all of the fora identified above. As such, with the transition of each NANPA function, the selected vendor will be expected to participate and provide NANP-related information typically provided by the NANPA.

NeuStar will continue to participate as the NANPA in the above-referenced industry fora through the first eight weeks of the transition period. At that time, the majority of NANPA functions will have transitioned to the selected vendor. Therefore, at the end of week eight of the transition period, the selected vendor will assume the lead role as the NANPA in these fora. NeuStar, as the NANPA emeritus, will provide support to the selected vendor and, as necessary, participate in meetings of these groups through the end of the transition period.

Section 7

Transition Costs

This Transition Plan defines specifically what activities NeuStar as the incumbent NANPA will perform in terms of transition services within the current, fixed price agreement. Any activity or request outside of this Transition Plan, or beyond the scope of the NANPA responsibilities as defined in the NANPA Requirements Document, may result in additional cost. Such cost will be the responsibility of the selected vendor.

The selected vendor is responsible for all of its own costs associated with the transition, including, but not limited to, the following:

- Participation in transition training sessions and/or on-site visits with NeuStar;
- Participation in any additional training provided by NeuStar that is outside of what is defined in the Transition Plan, including any and all travel expenses incurred by NeuStar employees and associated consultation fees; and
- Conference calls (other than the initial transition meeting call) required in this Transition Plan or other calls deemed to be necessary during the transition.

The FCC expects that during and after the transition of each functional area, but prior to the end of the 90-day transition period, the selected vendor may need the assistance of NeuStar as it assumes the NANPA responsibilities. NeuStar is prepared to provide this assistance during normal business hours, assuming such requests are reasonable. If, however, NeuStar determines that such a request cannot be met without further compensation, then NeuStar and the selected vendor will solicit FCC direction on the matter.

After the end of the transition period, NeuStar shall not be required to be available to provide assistance to the selected vendor unless specific arrangements have been mutually agreed upon by NeuStar and the selected vendor.

Section 8

Transition Oversight

NeuStar will designate a primary point of contact for transition activities. It is expected that the selected vendor will also designate a primary point of contact for the transition. During the initial transition meeting, these points of contact will be identified.

All changes, modifications or amendments to the Transition Plan must be in writing and approved by the FCC Contracting Officer.

Appendix A

Legacy Hardware and Software Specifications

Item #	QTY	Product Description	Purpose
Web Servers (HW)			
1	1	Dell 1550 PowerEdge Servers	NANPA Web site\CAS Links\DDS
2	1	600 Mhz Processor (Minimum)\ 1 Ghz processor (Maximum)	
3	1	1GB of RAM	
4	1	18 GB of Hard Drive Space	
5	1	Dual On-Board NICS	
6	1	24x IDE CD ROM	
7	1	Electronic Documentation on CD	
8	1	1U Dell 24U/42U Rack Kit	
9	N/A	HW Support 2 yrs (5x12 Onsite Support)	
10	1	Penguin Relion Server	NANPA Web site\CAS Links\DDS
11	1	600 Mhz Processor (Minimum)\ 1 Ghz processor (Maximum)	
12	1	1GB of RAM	
13	1	18 GB of Hard Drive Space	
14	1	Dual On-Board NICS	
15	1	24x IDE CD ROM	
16	1	Electronic Documentation on CD	
17	1	1U Dell 24U/42U Rack Kit	
18	N/A	HW Support 2 yrs 5x12 Onsite Support	
Application Servers (HW)			
19	2	Dell 1550 PowerEdge Servers	CAS Application
20	2	600 Mhz Processor (Minimum)\ 1 Ghz processor (Maximum)	
21	2	1GB of RAM	
22	4	18 GB of Hard Drive Space	
23	4	Dual On-Board NICS	
24	4	24x IDE CD ROM	
25	2	Electronic Documentation on CD	
26	2	1U Dell 24U/42U Rack Kit	
27	N/A	HW Support 2 yrs (5x12 Onsite Support)	
Software for both Web and Application Servers			
28	6	RedHat Linux 7.1v Operating System	WSIAS - OS
29	2	RedHat 7.1v Availability Server Support- 2 yrs.Maintenance Response (5 x12)	
30	2	BEA WebLogic 5.1 License for 2 Dual Processor Servers Service Pak 9	Application

Item #	QTY	Product Description	Purpose
31	2	BEA WebLogic 5.1 Security Certificates	Application
32	N/A	BEA WebLogic Server Support for 1 year Maintenance Response (5x12)	
33	2	Apache 1.3.2.6v Web Server Security Certificates (Equifax)	Web
34	N/A	Apache 1.3.2.6v Digital Certificate Annual Renewal (Equifax)	Web
Database Servers (HW & Associated Standard OS Software)			
35	2	HP9000 Std Rack System E41	CAS DB Server
36	2	HP 9000 N4000 Admin Server includes Unlimited User Lic	
37	2	HP server rp7400 Ent. Svrer Solution	
38	2	Terminal Console for HP3000/9000 Systems	
39	2	U.S. - English localization	
40	2	Racking Kit for HP server RP7400	
41	2	HP-UX OE LTU with system	
42	2	System license for HP 9000 tier 2 SPUs	
43	2	System license for HP 9000 tier 2 SPUs	
44	2	MirrorDisk/UX License for Servers	
45	2	CD-ROM Certificate Only	
46	2	HP-OV GlancePlus HP9000 Server, Media	
47	2	Factory Integrated	
48	2	HP-UX version 11.0iv	CAS DB OS
49	2	Telephone Assist System Support-1st yr.	
50	2	SMART Family Full Height Enclosure	
51	2	Single SCSI Bus Configuration	
52	2	2.5 M VHDCI to 68 PIN HD SCSI cable	
53	2	WSE 68 PIN SCSI Terminator	
54	2	DDS-3 DAT Drive Factory Racked	
55	2	DVD-ROM Drive Factory Racked	
56	2	N-Class Processor Support Module	
57	4	N-Class 550 Mhz PA8600 CPU 1.5MB cache	
58	2	N-Class Memory Carrier Board	
59	4	18GB Hot Plug Ultra2 SCSI LP Disk	
60	8	1024MB High Density SyncDRAM Memory Mod	
61	2	CD-ROM (Disk Only)	
62	2	U.S. - English localization	
63	2	HP-UX OE Media for Servers	
64	2	HP-UX version 11i	
65	2	PCI 4 Port 100Base-TX LAN Adaptor	
66	2	Dual Port FWD SCSI (PCI Bus) Adaptor	
67	2	Two 96MB Disk Array AutoRAID Controllers	

Item #	QTY	Product Description	Purpose
68	2	Factory Racked AutoRAID Array Model 12H	
69	2	Redundant Power Supply	
70	2	Qty 4 of 18.2GB 10k Disk Drive Modules	
71	2	2.5M VHDCI to 68 PIN HD SCSI Cable	
72	2	E41 Depth Ext. Kit, Factory Integrated	
73	2	Rear Door for Std. Rack System E41	
74	2	Modular Power Dist. Unit for Std Racks	
75	2	200-240 volts North America	
76	2	5 Meter AC Power Cord	
77	2	System License for HP 9000 tier 2 SPU's	
78	2	OnLine JFS 3.3 License for HP 9000 Svrs	
79	2	OV HP GlancePlus Tier Two, LTU	
80	2	Telephone Assist System Support-1st yr.	
81	2	5x12 System Support, Phone/Updates	
82	2	Manuals on CD-ROM	
83	N/A	Support - SMART Enclosure	
84	N/A	Support - N4000/rp7400 Server Solution	
85	N/A	Support - N4000/rp7400 CPU	
86	N/A	Support - Internet OE	
87	N/A	Support - Terminals (New Generation)	
88	N/A	For Internal Entitlement Purposes	
89	N/A	Support - 5yr. 5x12 phone/LTU	
90	N/A	Support for AutoRAID Disk Array	
91	2	CD-ROM (Disk Only)	
Database Software			
92	2	Oracle Database 8.1.6.0v Enterprise Edition	CAS DB
93	2	Diagnostics Management Pack	
94	2	SQL Plus 10 User	
95	2	Tuning Management Pack	
96	2	5-Year Product Support and Update Subscription Service for Oracle DB Enterprise Edition	
97	2	5-Year Product Support and Update Subscription Service for Oracle Tuning Mgmt. Pack	
98	2	5-Year Product Support and Update Subscription Service for Oracle Diagnostics Mgmt. Pack	
99	2	5-Year Product Support and Update Subscription Service for SQL *Plus	
100	2	CD Media Pack	
101	1	Microsoft MYSQL	DDS DB
102	1	Perl Scripts	DDS DB
3rd Party Utilities			
118	15	Seagate Crystal Reports 7.1v	Reports Management Tool

Appendix B

NANPA Records

The following is the list of North American Numbering Plan (NANP) administration records collected, created or maintained by NeuStar in its role as the North American Numbering Plan Administrator (NANPA). These records may be found in paper and/or electronic form.

Central Office (CO) Code Applications and associated records

- Central office code applications and related documentation (Part 1 forms and Months-to-Exhaust (MTE) worksheets, certification and network readiness support documentation, Part 3 forms, Part 4 forms)
- Central office code e-mail distribution contact list
- General correspondence (letters for regulators, users, etc.)
- Methods and procedures
- Reports produced for regulators
- Jeopardy/lottery procedures
- Correspondence and orders from regulators
- Tariff information from initial NANPA transition
- Documentation regarding Code Administration projects
- Lottery records

NANP Resource applications and associated records

- Carrier Identification Codes (CICs)
- 500 NXX Codes
- 900 NXX Codes
- 800-855 NXX Codes
- 555 Line Numbers
- Numbering Plan Area (NPA) Codes
- Automatic Number Identification Information Integer (ANI II)
- 456-NXX Codes

- Vertical Service Codes (VSC)
- Caribbean 800-NXXs
- Historical information (applications, assignment confirmations, correspondence; reports)
- Pending applications

NPA Relief Planning documentation and records

- Initial Planning Documents
- Planning Letters
- Rate center maps and related relief alternatives
- Jeopardy declarations & procedures
- Regulatory orders
- Relief alternative spreadsheets and instructions on use of spreadsheets
- Written testimony
- Press releases
- Relief Planning filings/petitions
- General correspondence (letters from regulators, users, etc.)
- Document Distribution System (DDS) user guide
- List of industry fax contacts and DDS distribution lists (electronic)
- Methods and Procedures manual which describes standard procedures for a wide range of topics including: conduct of meetings, Initial Planning Documents (IPDs), the consensus process, sample notification letters, press releases, Planning Letters, regulatory filings and implementation meetings.
- Current and deleted NPA relief planning information recipients
- Documents in DDS from September 20, 1999 to present
- Records related to relief planning, which includes archives of all documents prior to September 20, 1999 and all related non-electronic documents from 1997 to present

Central Office Code Utilization Survey (COCUS)/Number Resource Utilization and Forecast (NRUF) related records

- Service provider COCUS submissions

- Service provider NRUF Form 502 submissions
- NPA and NANP exhaust projection reports and associated documentation
- NRUF Job Aid (latest version available at time of transfer)
- Form 502 (geographic and non-geographic)
- NRUF Database (including the data for each biannual collection from September 2000 to present)
- NRUF e-mail distribution contact list
- State letters providing assurance of appropriate confidentiality protections in place (paper only)
- Any additional documentation sent to NANPA as part of the NRUF process (e.g., lists of anomalous CO codes)

NANPA and North American Numbering Council (NANC)-Chair Web Site

- Content and documents on the NANPA and NANC-Chair web site

Other Records

- General correspondence
- NANPA information and NANPA newsletter e-mail contact list
- Historical numbering plan information
- 809 NPA central office code (Dominican Republic) assignment documentation
- Planning Letters
- Past annual reports

Glossary

ANII II	Automatic Number Identification Information Integer
CA	California
CAS	Code Administration System
CD	Compact Disk
CIC	Carrier Identification Code
CO	Central Office
COCUS	Central Office Code Utilization Survey
DAT	Digital Audio Tape
DDS	Document Distribution System
DNS	Domain Name Service
EFT	Electronic File Transfer
EJB	Enterprise Java Beans
FCC	Federal Communications Commission
GDT	Geographic Data Technology
GUI	Graphics User Interface
HP	Hewlett Packard
HTTP	Hypertext Transfer Protocol
IP	Internet Protocol
IPD	Initial Planning Document
JAR	Java Archive
JSP	Java Servlet Page
IL	Illinois
LAN	Local Area Network
MTE	Months-to-Exhaust
NANC	North American Numbering Council
NANP	North American Numbering Plan

NANPA	North American Numbering Plan Administrator
NPA	Numbering Plan Area
NRUF	Number Resource Utilization and Forecast
OCN	Operating Company Number
PCS	Personal Communications Service
PDF	Portable Document Format
SSL	Secure Sockets Layer
TAR	Tape Archive
TCP	Transmission Control Protocol
VSC	Vertical Service Code
WAN	Wide Area Network

Attachment B: PAST PERFORMANCE REQUEST AND QUESTIONNAIRE

CONTRACTOR PERFORMANCE REPORT [☐] Final or [☐] Interim - Period Report: From ___/___/___
To ___/___/___

1. Contractor Name and Address:
Number:

2. Contract Number: Task Order

3. Value: \$

4. Award Date: Completion

Date:

5. Type of Contract:(Check all that apply)-[☐]FP [☐]FP-EPA [☐]CPFF - Completion [☐]CPFF-Term [☐]CPIF [☐]CPAF [☐]ID/IQ [☐]BOA [☐]Requirements [☐]Labor Hour [☐]T&M [☐]CR [☐]Other

6. Description of Requirement:

7. Ratings. After commenting, score, in column on the right, using 1 for unsatisfactory, 2 for marginal, 3 for satisfactory, 4 for very good, and 5 for exceptional.

Quality - Comments

Cost Control - Comments

Timeliness - Comments

Business Relations - Comments

8. Assessing Officers Name/Position/Organization Signature Phone/Fax Number:

9. Signature

Date:

10. Telephone Number:

Fax Number:

Internet Ad

Release of Information: This Contractor Performance Report may be used to support future award decisions, and will be treated as source selection information in accordance with FAR 3.104-4(k)(1)(x) and 42.1503(b). The completed report shall not be released to other than Government personnel and the contractor whose performance is being evaluated during the period the information is being used to provide source selection information.**CONTRACTOR PERFORMANCE REPORT INSTRUCTIONS**

Block 1: Contractor Name and Address. Identify the specific division being evaluated if there is more than one.

Block 2: Contract number/task order number being evaluated.

Block 3: Contract value, including options.